

R4

USAID/ECUADOR

Results Review and
Resource Request (R4)

March 21, 2000

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Released on or after Oct. 1, 2002

UNITED STATES GOVERNMENT
memorandum

DATE: March 21, 2000

REPLY TO
ATTN OF: Hilda M. Arellano, USAID/Ecuador Director

SUBJECT: Issues Stemming from USAID/Ecuador's FY 1999 Results Review and
FY 2001-2002 Resource Request (R4)

TO: Carl Leonard, A-AA/LAC

Introduction

Over the past year, Ecuador has reeled under the impact of a seemingly interminable series of events that have battered its already-weakened economy and brought public confidence in the democratic process to an all-time low. The banking crisis in March 1999 and the freezing of all deposits were rapidly followed by major social protests that paralyzed the country for weeks at a time. As GDP dropped by 8% and per capita income fell by one third in dollar terms, President Mahuad's ability to govern came into question. Unable to raise gasoline prices because of the strength of opposition to this historically unpopular measure, Mahuad lost the GOE's one source of ready income sufficient to lower the daunting 6.2% fiscal deficit and to stabilize the currency. In the year from March 1999 to March 2000, the sucre depreciated from 7,000 to 25,000 to the dollar. The government responded to the financial crisis by increasing the money supply by 150%. As if all of this were not enough, the eruption of two volcanoes in areas well-known for tourism further weakened this important industry.

Throughout this period, negative public opinion toward the government was shaped primarily by a series of high-profile corruption cases. As the general population watched their standard of living plummet, they observed vested interests paralyze the Congress' ability to take any measures that truly represented the best interests of the country. At the same time, allegedly corrupt bankers and financial managers were allowed to flee the country or were barely kept in jail on misdemeanor charges, such as tax evasion. Former President Alarcon was also jailed over misuse of public funds. The most highly-charged case was that brought against President Mahuad for having accepted \$3 million in campaign funding from jailed banker, Fernando Aspiazu, who as president of Ecuador's largest bank, is reputed to have misused over \$1 billion in depositors' funds. By the end of the year, Mahuad's presidency was paralyzed by his own indecision, special demands being made by the elites, and a total lack of public support.

In spite of a last ditch attempt by Mahuad to present a coherent economic program ("dollarization"), public discontent reached a fever pitch in mid January. While the most visible actors were the indigenous poor, it was clear that their protests were receiving passive, and not so passive, support of other key sectors, such as the military. On January 21st, Vice President Gustavo Noboa received approval from the Congress to replace

President Mahuad. It was apparent that in this newest change of government there were no winners. The real loser was Ecuador's democracy that must now struggle to find new legitimacy if it is to survive.

In this difficult context, USAID/Ecuador has continually adjusted the focus of its limited resources in an environment of chronic instability. We have maintained a flexible approach in implementing our current strategy and achieved important goals at the policy level. At the same time, we have ensured that services continue to reach USAID's ultimate beneficiary: Ecuador's rural and marginal urban poor. We have worked with our NGO and public sector partners to ensure that programs were sustainable, and helped them expand their sources of funding to other donors. In this time of crisis, the flexibility of our approach allowed us to intervene in areas that had not been planned for, such as immediate technical assistance to the financial sector and development of high-profile anticorruption cases.

As a member of the US Mission Country Team, our challenge for the next year will be to assist the Ecuadorians as they strive to regain the legitimacy of their democracy and move toward economic stabilization and recovery. Ecuador's recovery is especially time-sensitive, because of its current vulnerability to the pressures of narcotics trafficking and violence along its northern border. Our resources will continue to be limited, but we will look for the best ways to make a difference through carefully targeted interventions. During this year Ecuador proposes to start an ambitious plan of economic reform and stabilization. USAID is poised to assist in those areas that will provide the indispensable social and political balance to this process.

Issues

Program Focus

In FY 2001, USAID will have three primary strategic objectives for Ecuador: Environment, Democracy, and Peru-Ecuador Border Integration. There is no funding envisioned for a concerted response to Ecuador's current crisis. Recently the US Mission requested, and was granted, approximately \$20 million in 416b food assistance. These funds will be monetized and provide significant support for much-needed infant and school feeding programs.

Action Requested: If there is a recommendation from Washington that the US should increase its crisis response capability in Ecuador beyond the 416b food aid, the sooner the decision is made, the better. This will represent a significant shift in the Mission's focus, and represent additional management responsibilities not contemplated in the current downsizing plan.

Congressional Hold

All FY 2000 funds for Ecuador are currently on hold. There is no sign that the hold will be lifted any time soon. We are in close contact with our partners and have recommended that they keep their expenses to a minimum in order to not have to close down operations. Most ongoing programs will start to run out of funds in April.

Action Requested: Mission will prepare an information/decision memo on the impact of the hold on program funding and implementation, if it remains in place beyond April 15.

632B Agreement with OPDAT/ICITAP

The Department of Justice through OPDAT is providing critical assistance in the area of judicial reform and white-collar crime. Nevertheless, ICITAP has not provided the level of assistance required under this important agreement, and OPDAT appears to have a hard time accessing the human resources required in the 632B Agreement. With the recent passage of the new Code of Criminal Procedures and the current GOE's expressed interest in fighting corruption, the 632B Agreement must become fully functional or the Mission will have to shift to an institutional contractor arrangement.

Action requested: USAID/Ecuador requests that LAC provide clarification/guidance on current working relationships with OPDAT and ICITAP and the extent to which Missions can be actively involved in management of 632B Agreements.

Downsizing

The Mission's downsizing plan is on track. At the end of FY 2000 total staffing will reach 32 and by the end of FY 2001, 24. The Bureau recently amended the original level of 20, concurring that with the border program a total level of 24 staff would be required.

Action Requested: OE levels requested for the coming years be approved since they represent the absolute minimum level at which the downsized Mission can operate.

Regional Service Provision

The Mission has been working closely with USAID/Lima to ensure that Controller services for Colombia transferred in October 1999 are running smoothly. In a like manner, we are providing a series of TDYs to Lima to prepare for the transfer of Ecuador's accounting in July. EXO services will also transfer in July.

Action Requested: Lima continue to receive the support required to be a fully operation Regional Service Center. With the growth of the Colombia program, and the continuation of the Ecuador program, the context in which the decision was made in 1996 to establish the service center has varied significantly.

In closing, I would like to express my thanks to the FSN staff of the Mission's Strategy Development Office who have prepared the attached R4. Since last summer, USAID/Ecuador has had no USDH in the Supervisory Program/Projects backstop. Our

excellent team of FSNs has risen to the challenge and coordinated preparation of all programming and reporting documents for USAID/Washington. Terrific job!

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Acronyms

AA/LAC	Assistant Administrator/Latin American Bureau
AGD	Deposit Guarantee Agency (Agencia de Garantía de Depósitos)
APROFE	Association for the Well-being of the Ecuadorian Family (Asociación Pro-bienestar de la Familia Ecuatoriana)
ASME-CX	Ecuadorian Medical Association of Christian Commitment (Asociación Médica Ecuatoriana de Compromiso Cristiano)
BASICS	Basic Support for Institutionalizing Child Survival
CAF	Andean Development Corporation (Corporación Andina de Fomento)
CARE	Cooperative American Relief Everywhere
CARE-APOLO	Cooperative Assistance Relief Everywhere - Support to Local Organizations (Apoyo a Organizaciones Locales)
CARE-SUBIR	Cooperative Assistance Relief Everywhere - Sustainable Uses for Biological Resources
CEMOPLAF	Medical Center for Family Planning and Counseling (Centro Medico de Orientación y Planificación Familiar)
CEPAR	Center for the Studies of Population and Social Development (Centro de Estudios de Población y Desarrollo Social)
CEPAM	Ecuadorian Center for Woman's Promotion and Activities (Centro Ecuatoriano para la Promoción y Acción de la Mujer)
CIDES	Center on Human Rights and Society (Centro Sobre Derecho y Sociedad)
CLD	Latin American Corporation for Development (Corporación Latinoamericana para el Desarrollo)
CONAIE	Ecuadorian Confederation of Indigenous Nationalities (Confederación de Nacionalidades Indígenas del Ecuador)
CRS	Catholic Relief Services
CS	Child Survival
CSO	Civil Society Organization
CYP	Couple Years of Protection
DCM	Deputy Chief of Mission
DOJ	US Department of Justice
EA	Environmental Assessment
EMAAP-Q	Municipal Water Company (Empresa Municipal de Agua Potable-Quito)
ENDEMAIN	Demographic and Health Survey (Encuesta Demográfica y de Salud Materna e Infantil)
ESF	Economic Support Funds
FER	Rumicocha Ecological Foundation (Fundación Ecologica Rumicocha)
FINCA	International Foundation for Community Assistance (Fundación Internacional para Asistencia Comunitaria)
FONAG	Water Endowment Fund (Fondo del Agua)
FP	Family Planning
FSN-PSC	Foreign Service National-Personal Service Contractor
FUNAN	Antisana Foundation (Fundación Antisana)
GLOBE	Global Learning and Observations for the benefit of the Environment
GDP	Gross Domestic Product

GMR	Galapagos Marine Reserve
GOE	Government of Ecuador
IBRD	International Bank for Reconstruction and Development
ICITAP	International Criminal Investigative Training Assistance Program
IDB	Interamerican Development Bank
IEE	Initial Environmental Examination
IMA	Interinstitutional Management Authority
IMCI	Integrated Management of Childhood Illnesses
IMF	International Monetary Fund
IR	Intermediate Result
JHPIEGO	John Hopkins Program/International Education in Reproductive Health
LAC/DPB	Latin America and Caribbean Bureau/Office of Development Planning and Budget
MCH	Maternal Child Health
MOH	Ministry of Health
NGO	Non-Governmental Organization
NRM	Natural Resource Management
NXP	Non-expendable property
OE	Operating Expenses
OPDAT	Overseas Prosecutorial Development, Assistance and Training
PAHO	Pan American Health Organization
PIP	Parks in Peril
PMB	Participatory Management Board
QA	Quality Assurance
REA	Antisana Ecological Reserve
RECAP	Cayambe-Coca Ecological Reserve
RECC	Cotacachi-Cayapas Ecological Reserve
RIF	Reduction in Force
RPM	Rational Pharmaceutical Management
RUDO/LA	Regional Urban Development Office/Latin America
ROL/DS	Rule of Law/Democracy Support
SCDF	Seed Capital Development Fund
SO	Strategic Objective
SOTL	Strategic Objective Team Leader
SpO	Special Objective
TDY	Temporary Duty
TNC	The Nature Conservancy
UNIDO	United Nations Development Organization
UNDP	United Nations Development Program
UONNE	Organization of Ecuadorean Black Nationalities (Unión de Organizaciones de Nacionalidades Negras del Ecuador)
US	United States
USAID	United States Agency for International Development
USDH	US Direct Hire

Part I: Overview Factors Affecting Program Performance

1. Highlights of Economic, Social, and Political Developments: In only two and a half years, Ecuador has seen two democratically elected presidents forced from office by massive protests over the corruption and bankruptcy of the country's political system. During 1999 a dramatic drop in economic growth, the collapse of the financial sector, increasing poverty and unmet human needs, widespread corruption and worsening income distribution have all contributed to growing confrontation between Ecuador's wealthy and poor. Regional and ethnic divisions have exacerbated this confrontation. President Jamil Mahuad's removal from the presidency on January 21st of this year signified for many analysts how dangerously close Ecuador has come to being a "failed state."

These problems are not new. A political system managed to serve the vested interests of the country's elites has resulted in two decades of stagnating macroeconomic performance and extreme political instability. Traditional political, economic, and military elites have weakened the state's ability to represent and foster the nation's best interests. Competition for preferential access to resources, concessions, and political favors has distorted the democratic process to the point where the country's future is a secondary concern. The country's 14 political parties have come together only to systematically block economic stabilization and structural reforms that would bring about modernization.

The multifaceted crisis of 1999 brought the country's economy to a grinding halt. While economic activity decreased by 8%, the 61% inflation eroded the purchasing power of households. The fiscal deficit increased during 1999 to 6.2% of GDP and the frequent strikes by unpaid public school teachers and health workers closed down public schools and hospitals. Per-capita income in dollar terms plummeted by 33% during the year. Unemployment increased from 9% to 17% and underemployment increased from 49% to 55%, as 4,587 companies closed their doors. Recent GOE statistics show an alarming increase in consumer-based poverty indicators from 34% in 1995 to 69% in 1999, or about 8 million people. Rural poverty increased the most, from 56% in 1995 to 88% in 1999, while urban poverty increased from 19% to 55% in the same period. Of the 8 million poor, roughly 4 million live in extreme poverty, i.e., they could not meet their basic nutritional requirements, even if their entire incomes were spent on food. Additionally, income distribution in Ecuador is among the worst in the Andean region, with roughly 80% of the income share of GDP accruing to approximately 20% of the population.

The worst banking crisis in Ecuador's history erupted in March 1999. The general populace watched in awe as the GOE utilized \$1.6 billion of newly printed inflationary funds to bail out banks that failed as a result of corrupt practices. At the same time, the GOE announced the freezing of private sector savings and time deposits amounting to \$2 billion for an undetermined period of time. Eleven banks that did not meet capital adequacy requirements and that make up 70% of the assets of the banking system were taken over by the Deposit Guarantee Agency (AGD).

Ecuador's debt to domestic and foreign creditors exceeded 124% of GDP and debt servicing reached 54% of the national budget. In October, the GOE defaulted on all of its debt payments,

unilaterally declaring a debt moratoria on its Brady and Euro Bonds, and restructured by decree domestic debt payments to the Ecuadorian private sector. The country's external debt increased to \$17 billion during 1999. After debt servicing, military expenditures and federal salaries, little or nothing was left in the budget for badly needed social sector programs in education and health. All efforts to privatize major state-owned utilities were basically put on hold by Congress. This situation impeded efforts by the GOE during the year to achieve a Stand-by Agreement with the International Monetary Fund (IMF). The absence of an IMF agreement blocked one billion dollars in financing from the International Development Fund (IDB), International Bank for Reconstruction and Development (IBRD) and the Andean Development Corporation (CAF), and effectively stopped restructuring of Paris Club Debt (including US debt) in the amount of \$1.2 billion.

President Mahuad's political future became increasingly uncertain as he failed to produce on two key campaign promises: that he would take a hard line on corruption, and that he would proactively address the growing needs of Ecuador's poor. In late 1999 Fernando Aspiazu, the powerful president of Banco del Progreso currently in jail on tax evasion and banking fraud charges, revealed that he had contributed \$3 million to Mahuad's campaign. The failure of Progreso in March represented the start of widespread failure in the financial sector. Rightly or not, the population connected Mahuad's relationship to Aspiazu with the freezing of their deposits and the over \$1.6 billion of government funds used to bail out bankers, many of whom fled the country. This outpouring of resources to subsidize the wealthy was contrasted to Mahuad's constant complaint that he had no funds for social programs. The upshot was that by December 1999 Mahuad's approval rating had dropped to 9%.

The detonator for Mahuad's final political crisis as president was the 50% deterioration in the value of the sucre between December 1, 1999 and January 10. It became increasingly clear that the sucre was no longer a viable currency. In a desperate attempt to restore economic and political order, and regain credibility, on January 9 Mahuad announced that Ecuador would be the first country in the region to "dollarize" its economy. But it was too little, too late.

With the massive protests that led to the February 1997 demise of President Bucaram fresh in the minds of Ecuadorians, on January 15 the CONAIE (Ecuadorian Confederation of Indigenous Nationalities) initiated nationwide protests calling for the resignation of all three branches of government. CONAIE had first become a political force in 1992-93 when they paralyzed the country over issues of social justice and inequity. In recent years these protests had continued. This time, however, their primary focus was on corruption in government. On January 21, 2000, disaffected young military officers joined CONAIE to physically take over the Congress and the Office of the President, and President Mahuad went into hiding. The next day the Congress ratified Vice-President Gustavo Noboa as President.

Soon after assuming the Presidency, President Noboa forwarded to Congress the Economic Transformation Law that establishes the framework for long overdue economic stabilization and structural adjustment. This law includes provisions for privatization in the electricity, telecommunications and petroleum sectors; a more flexible labor market; more stringent bank supervision that includes partial compliance of the Basel Accords on capital adequacy requirements; the establishment of a dual monetary system that allows for the circulation and

transaction of dollars and the national currency (sucres) simultaneously; and the elimination of the right of seigniorage for the Central Bank. Congress approved the Economic Transformation Law on March 2. The GOE expects to sign a letter of intent in preparation for a Stand-by Agreement with the IMF in the near future.

2. Summary Progress in Implementing the Currently Approved Strategic Plan: In spite of increased political and economic instability, USAID/Ecuador's overall strategy is on track. Our strategic focus on policy and legal reforms; NGO strengthening and sustainability; and development of local models of decentralization of services all bore fruit. Highlights of policy and legal changes in the environment were Forestry Policy Reform, Regulations for the Special Law on Ecotourism and the Galapagos legislation, and regulations to protect against exploitative fishing. In the justice sector, a major accomplishment was the congressional passage of a new Criminal Procedures Code among the most advanced in Latin America, permitting effective anti-corruption investigations. In addition, on the job training to the Public Ministry was instrumental in the issuance of indictments unprecedented in the judicial history of Ecuador against one of the most powerful and allegedly corrupt bankers. In both environment and justice strategies, USAID-strengthened NGOs played key roles in these successes. Meanwhile, health sector NGOs were critical to maintaining momentum in decentralization perhaps the one major area of health reform that progressed in the unstable political environment of 1999. Family planning NGOs APROFE and CEMOPLAF met sustainability targets by recovering more than 80% of their costs while attending record numbers of clients in over 40 clinics nationwide, a level and breadth of cost recovery by NGOs perhaps unparalleled in USAID supported family planning programs. The predominant role of the private sector in FP was documented by the USAID-funded 1999 National Demographic Survey, which found 61% of services delivered by the private sector, and an increase in contraceptive prevalence from 56.8 to 66.3%. Finally, the many lessons learned about sustaining local NGOs, public-private partnerships, microcredit and natural resources management were all applied to our new SpO for Border Integration, maximizing the prospects for successful and expeditious implementation of these activities in the coming years.

3. Most Significant Program Achievements: In the environment sector, USAID has continued providing assistance to strengthen the administrative and technical capabilities of local NGOs and CSOs. Efforts have concentrated on the development of sustainability plans and institutional overhead structures. Partner NGOs increased non-USAID funding sources from \$2.8 million in FY 1998 to \$4.2 million in FY 1999, almost doubling the target planned for this year. Another aspect of USAID intervention was the adoption of improved natural resource management practices by 763 families in the RECC buffer zone; and in the RECA-REA, 371 families improved pasture management, adopting soil conservation practices and employing organic alternatives for pest control and management. In health and family planning, one of the results that best illustrates the achievement of significant results in the SO is the couple years of protection (CYPs), which have reached 150% of the target for FY 1999. This target was exceeded because the two largest family planning NGOs in Ecuador, APROFE and CEMOPLAF, participated in a strong social marketing program. On the health side, ten NGOs receiving support from USAID through CARE exceeded planned levels of cost recovery by an average of 20%. Under the democracy SO, one of the products of USAID/Ecuador's efforts is the signing of the collaborative agreement between the Public Ministry and the Judicial Police

defining their new roles according to the new Ecuadorian constitution. Also, some elements of this agreement were used as input for the new Criminal Procedures Code. Furthermore, the creation of the Strategic Alliance Justice Fund has resulted in an important collaboration of CSOs among themselves and with the public sector, e.g., the launching of a degree program in judicial reporting being implemented by the National Judicial Council and the Catholic University of Quito, and the training of prosecutors in the new domestic violence law to improve the protection of women. In the area of microenterprise development, even with the reduced demand for credit due to the banking crisis, the number of borrowers increased from 21,500 to 30,300 this fiscal year. Under the pollution prevention SpO, USAID NGO partner Oikos Corporation is becoming the primary source of technical information on cleaner production and environmental technologies for municipalities, universities, industrial firms, and the public in general.

4. Overall Prospects: Where critical assumptions resulting from Ecuador's deepening crisis impact on SO achievement, adjustments are being made. We are working with NGO partners to ensure that sustainability targets are met and that programs facing close out will be sustainable into the future. This requires a keen eye to cost containment, diversification of funding sources and strong management. We continue to work with those GOE partners committed to reform. For instance, it appears that new environmental officials support passage of the USAID-designed forestry legislation. They are also committed to full implementation of the Galapagos Regulations and to increasing the number of Natural Resource Management Plans approved and executed. In the area of judicial reform and anti corruption, the eighteen-month transition to implementation of the new Code of Criminal Procedures offers an excellent environment for our support. In addition, with recent progress by the Attorney General's White Collar Crime Unit and continued public outrage over financial crimes, USAID provides much needed assistance in this key area for democratic stability. USAID's close coordination with the GOE to design the most appropriate use for border integration resources is already bearing fruit. The Border Integration SO 11 is moving forward and new funding will be made available on time. It was decided that because of the financial sector crisis, the micro finance activity of SO 11 would phase in when the implementing environment improves.

5. Significant Changes in USAID/Ecuador's SOs: The Mission's microenterprise, pollution prevention, and health activities will terminate at the end of FY 2000. This was part of the Mission's downsizing proposal in the current Strategic Plan and ratified in last year's decision by the AA to extend indefinitely a small mission presence in Ecuador. The one-year no-cost extension of family planning activities is considered critical to consolidating the sustainability of the two key local NGO partners. The Mission foresees no changes in the democracy SO approved last year or the environmental SO. Nevertheless, we are closely monitoring issues related to poverty alleviation and social development, given the rapid deterioration of poverty indicators over the last year. It may be necessary to revisit the need for targeted assistance in the area of poverty alleviation and decentralized service delivery, if the GOE is successful in current efforts to achieve a Stand-by Agreement with the IMF that sets in motion a program of major economic reform and structural adjustment.

R4 Part II: Results Review by SO

Text for SO a

Country/Organization: USAID/Ecuador

Objective ID: 518-001-01

Objective Name: Biodiversity conserved in selected protected areas and their buffer zones

Self Assessment: On Track

Self Assessment Narrative: Overall performance towards this SO was satisfactory during the reporting period. Targets for results were met and surpassed.

Primary Link to Strategic Agency Framework:

(please select only one)

5.5 Natural Resource Management

Secondary Link to Strategic Agency Framework:

(select as many as you require)

- | | |
|--|--|
| <input type="checkbox"/> 1.1 Private Markets | <input type="checkbox"/> 1.2 Ag Development/Food Security |
| <input checked="" type="checkbox"/> 1.3 Economic Opportunity for Poor | <input type="checkbox"/> 2.1 Rule of Law/Human Rights |
| <input type="checkbox"/> 2.2 Credible Political Processes | <input type="checkbox"/> 2.3 Politically Active Civil Society |
| <input type="checkbox"/> 2.4 Accountable Gov't Institutions | <input type="checkbox"/> 3.1 Access to Ed/Girl's Education |
| <input type="checkbox"/> 3.2 Higher Ed/Sustainable Development | <input type="checkbox"/> 4.1 Unintended Pregnancies Reduced |
| <input type="checkbox"/> 4.2 Infant/Child Health/Nutrition | <input type="checkbox"/> 4.3 Child Birth Mortality Reduced |
| <input type="checkbox"/> 4.4 HIV/AIDS | <input type="checkbox"/> 4.5 Infectious Diseases Reduced |
| <input checked="" type="checkbox"/> 5.1 Global Climate Change | <input checked="" type="checkbox"/> 5.2 Biological Diversity |
| <input type="checkbox"/> 5.3 Sustainable Urbanization/Pollution | <input type="checkbox"/> 5.4 Environmentally Sound Energy |
| <input checked="" type="checkbox"/> 5.5 Natural Resource Management | <input type="checkbox"/> 6.1 Impact of Crises Reduced |
| <input type="checkbox"/> 6.2 Urgent Needs in Time of Crisis Met | <input type="checkbox"/> 6.3 Security/Basic Institutions Reestablished |
| <input type="checkbox"/> 7.1 Responsive Assist Mechanisms Developed | <input type="checkbox"/> 7.2 Program Effectiveness Improved |
| <input checked="" type="checkbox"/> 7.3 Commit Sustainable Development Assured | <input type="checkbox"/> 7.4 Technical/Managerial Capacity Expand |

Link to U.S. National Interests: Global Issues: Environment, Population, Health

Primary Link to MPP Goals: Environment

Secondary Link to MPP Goals (optional): Environment

Summary of the SO:

USAID/Ecuador's Strategic Objective 1, "Biodiversity conserved in selected protected areas and their buffer zones," supports the US national interest of promoting the sustainable use and

responsible stewardship of Ecuador's unique biodiversity. Ultimate beneficiaries will be the majority of the nation's poor, especially women, children, and Ecuador's indigenous communities who directly depend on sustainable use of natural resources.

Key Results:

Key intermediate results are: IR 1, "Strengthened capacity of targeted NGOs and CSOs active in biodiversity conservation;" IR 2, "Economically viable natural resource management (NRM) practices adopted;" and, IR 3, "Key policies and legal frameworks introduced and/or implemented to conserve biodiversity."

Performance and Prospects:

Summary Performance Statement

The program is on track and in many instances exceeded planned goals. Activities have continued to improve natural resource management and biodiversity protection at the local, regional and national levels. The technical, analytical, administrative and financial capabilities of local NGO partner institutions have been significantly strengthened. They now receive important funding from non-USAID sources. At the same time, NGO partners continue working with local communities and regional authorities to develop natural resource management plans to stabilize land use patterns in priority areas. Indigenous and black communities gained legal title to their ancestral lands (a cornerstone of long-term development), which will formally grant them access to their natural resources and allow them to enter into productive partnerships with the commercial sector.

Performance Over the Past Year Relative to Plans

During the reporting period, US PVO partners have continued providing assistance to strengthen the administrative and technical capabilities of local environmental NGOs. Efforts have been dedicated to the development of the sustainability plans and institutional overhead structures. Partner NGOs increased non-USAID funding sources from \$2.8 million in FY 1998 to \$4.2 million in FY 1999, greatly exceeding the planned FY 1999 cumulative target of \$2.4 million. Our NGO partners are national leaders in the environmental/natural resources area. Their achievements have greatly exceeded the planned target for key policy and legal framework documents, from 20 in 1998 to 31 in 1999. Policy advocacy at the regional and national levels has surpassed expectations. CARE/SUBIR produced a number of legal studies, including: Forestry Policy Reform, Economic Incentives, Restructuring of the Forestry Department at the Ministry of Environment, Private Sector Reform, Regulations for the Special Law on Ecotourism, the new Law on Afro-Ecuadorian Territories presented to the UONNE, and a formal decree prohibiting subdivision of lands. Through TNC and the support of the Mayor of Quito, FUNAN and the EMAAP-Q established the Water Endowment Fund, FONAG. Through PIP, a strategy for implementing a fund similar to FONAG for the Loja Province is being developed for conserving the Podocarpus National Park. In the RECC buffer zone, CARE/SUBIR worked with 763 families to adopt improved NRM practices. In the RECA-Y-REA, with TNC 371 families improved pasture management, adopting soil conservation practices, and employing organic alternatives for pest control and management. In Galapagos, fishermen and tour operators supported full compliance with the Galapagos Special Law and the Marine Reserve Management Plan as active members of the Participatory Management Board (PMB). The PMB is the local forum for enforcing regulations for the day-to-day management of the marine reserve.

CARE/SUBIR presented legal titles to 9 communities in the RECC for approximately 8,000 hectares (ha.) during FY 1999. The importance of land tenure for environmental stability was a recurring theme during the event attended by the US Ambassador, the DCM, the Ecuadorian Ministers of Agriculture and the Environment. In addition to their land titles, the communities now have NRM plans designed by Jatun Sacha to ensure their sustained growth. Additionally, CARE and its partner NGOs completed community NRM plans for 13,300 ha. in the RECC buffer zone. TNC and its partner NGOs completed General Land Use Plans for 62,700 ha. in the RECA and its buffer zones and 17,964 ha. in the REA. These management plans are critical to the stabilization of land use in the region. Through the effort of the US Mission, the Charles Darwin Foundation, and local and international environmental communities, on January 4, 2000, President Mahuad signed the long-awaited implementing regulations for the GMR. The regulations form the basis for the GOE's implementation of the Galapagos Special Law. In addition to the formal expansion of the GMR from 70,000 to 133,000 km², the regulations contain many provisions that will aid in the protection and conservation of the Galapagos. In April 1999 the Interinstitutional Management Authority (IMA) approved the Galapagos Marine Reserve Management Plan following a highly participatory process of dialogue and consensus.

Expected Performance in FY 2001-2002

CARE and TNC will continue working with local NGOs to assure their financial sustainability. With the skills developed through the first-ever community NRM Plans, by FY 2002 SUBIR will bring the total area of community land under sustainable management to 316,900 ha. in the buffer zone of the RECC. The creation of the 300,000 ha. ethnic reserve is expected to be completed, including individual community land titling for 41,000 ha. By FY 2002, TNC and local NGO partners are expected to be managing almost a million hectares in four protected areas under the bioserve concept. For this purpose, community park guards will be trained to assume the role of key decision makers for the management of those areas. The FONAG will be fully operational, assuring a safe water supply for Quito. It will also provide resources for the management of the reserves to protect endangered species. Ecotourism activities will be in place in the bioserve and its buffer zones. The Galapagos legislation will be implemented with strong participation from the community, giving the GMR the opportunity for effective marine protection and sustainable natural resource practices in the region. It is also expected that the draft set of sectorial regulations will be finalized and approved by the appropriate GOE authorities. Given the firm commitment of Ecuadorian NGO partners to achieving SO objectives and the priorities indicated by the new GOE administration, the prognosis for achieving policy reform and long-term, grass-roots impact, is high.

Possible Adjustments to Plans:

None are contemplated at this time, however the fusion of the Ministries of Tourism and Environment has caused considerable turmoil with some NGOs. The new Ministry, to date, has not changed any of its policies, nor personnel, below the level of the Minister and Subsecretary. Two areas of the SO 1 portfolio remain vulnerable, the Galapagos Marine Reserve under the pressures from the tuna fishing industry and the new Forestry Policy and proposed legislation under pressure from the plywood industry. The plywood industry continues to monopolize the market controlling stumpage value and logging cost, which seriously affects the profitability and sustainability of the forestry sector.

Other Donor Programs:

Other donors, particularly the World Bank and the IDB, are contributing over \$21 million to replicate the successful models developed under this SO, such as the paralegal program in the Cotacachi-Cayapas Ecological Reserve and the quarantine program in the Galapagos Islands.

Major Contractors and Grantees:

Biodiversity conservation activities are implemented through CARE, The Nature Conservancy (TNC), Charles Darwin Foundation, and the Galapagos National Park.

Performance Data Table

Objective Name: Biodiversity conserved in selected protected areas and their buffer zones					
Objective ID: 518-001-01					
Approved: 01/01/98			Country/Organization: USAID Ecuador		
Result Name: IR 1.1 - Strengthened capacity of targeted NGOs and CSOs active in biodiversity conservation in selected protected areas and their buffer zones.					
Indicator: Increased financing of local partners by outside (non-USAID) sources (\$000).					
Unit of Measure: Thousands of dollars provided for conservation activities (CUMULATIVE)			Year	Planned	Actual
			1997(B)	1,115	952
Source: TNC letter UTR-1483/10-99, dated 10/28/99			1998	1,808	2,775
Indicator/Description: Expected results disaggregated by partner are as follows: Yr/Area JATUN SACHA/ FUNAN/ ARCO ECOCIENCIA FER IRIS TOTAL			1999	2,417	4,183
			2000	3,162	NA
			2001	3,412	NA
			2002	3,862	NA
			2003	0	0
			2003(T)	3,862	NA
			2004		
1997 1,000 115 -- 1,115					
1998 200 293 200 693					
1999 0 369 240 609					
2000 200 265 280 745					
2001 0 250 0 250					
2002 200 250 0 450					
2003 0 0 0 0					
Total 1,600 1,723 720 3,862					
Timing - Annually (SOTL)					
Comments: To verify the reliability of partners' data collection process, this indicator was validated by USAID/Ecuador staff. Therefore actual results for FYs 1997, 1998 and 1999 have been adjusted to reflect indicator validation.					
Contributions during FY 1999 were as follows: RECC – Ecociencia and Jatun Sacha were not required to look for external financing this year. However, Ecociencia received \$713,833 and Jatun Sacha \$256,409. RECA Y - FUNAN \$58,940 and FER \$31,348. PIP - Arco Iris Foundation \$347,631.					
The ability of TNC to strengthen the capacity of FUNAN and FER, after more than five years working with these NGOs, remains an outstanding issue.					

Performance Data Table

Objective Name: Biodiversity conserved in selected protected areas and their buffer zones			
Objective ID: 518-001-01			
Approved: 01/01/98		Country/Organization: USAID Ecuador	
Result Name: IR 1.2 - Economically viable natural resource management (NRM) practices adopted, in selected protected areas and their buffer zones			
Indicator: Hectares of land in selected protected areas and buffer zones under participatory NRM plans (thousands)			
Unit of Measure: Thousands of hectares (CUMULATIVE). Unit measurement purposively aggregates across kinds of areas and types of plans.	Year	Planned	Actual
	1996(B)	70	70
	1997	626	784
Source: CARE FY99 Report 10/27/99; TNC e-mail 2/18/2000 and TNC letter UTR-1483/10-99 dated 10/28/99.	1998	782	845
	1999	1203	938.3
	2000	1341	NA
	2001	1389	NA
Indicator/Description: Benchmark for the plans are: Conservation Reserve Plans submitted to GOE for approval; Land Use Plans (General/Specific) accepted by the relevant community. *=Completed.	2002	1596	NA
	2003(T)	2206	NA
CONSERVATION --COMM.LAND USE PLANS-- RESERVE PLANS GENERAL SPECIFIC TOTAL (RECA,Y,REA,PIP) (RECC,RECA,Y, (RECC) REA,PIP)			
1996 60*	10.4*	0.5*	70.9
1997 329*+142*	241*	1.5*	713.5
1998 120	25.1*+147+35*	0.3*	327.4
1999 ---	10+30+20+30	1.5	91.5
2000 ---	39.9+35+50+5	8	137.9
2001 ---	8+20+5+5+5	5	48.0
2002 ---	206.6	---	206.6
2003 ---	610	---	610.0
GRAND TOTAL			2,205.8
Comments: To verify the reliability of partners' data collection process this indicator was validated by USAID/Ecuador staff. Therefore actual results for FYs 1997, 1998, and 1999 have been adjusted to reflect indicator validation.			
RECC target was surpassed in FY 1999, General Use Land Plans were developed for 10 communities, totaling 10,626.73 has. and Specific Land Use Plans in 3 communities, totaling 2,674 has. RECA Y target was also surpassed. General Use Land Plans were developed for 2 communities, totaling 58,200 has. During FY 1999, 17,964 has. were under natural resources land use plans in the REA. The conservation and land use plans for the REA (approx. 267,000 has.) were not completed due to delays in obtaining approval and the necessary resources from GOE entities. However, progress on these plans is 80% as of March 2000.			

Performance Data Table

Objective Name: Biodiversity conserved in selected protected areas and their buffer zones																																																												
Objective ID: 518-001-01																																																												
Approved: 01/01/98				Country/Organization: USAID Ecuador																																																								
Result Name: IR 1.3 - Key policies and legal frameworks introduced and/or implemented to conserve biodiversity in selected protected areas and their buffer zones																																																												
Indicator: Key policies, legal frameworks, and enforcement mechanisms prepared, modified, and introduced at the appropriate government level to improve biodiversity conservation in targeted protected areas and their buffer zones																																																												
Unit of Measure: Policy documents submitted to executive, legislative, municipality authorities, as appropriate				Year	Planned	Actual																																																						
				1997(B)	6	6																																																						
				1998	13	20																																																						
Source: CAREFY 99 Report 10/27/99; TNC letter UTR-1483/1099, 10/28/99				1999	20	31																																																						
				2000	23	NA																																																						
Indicator/Description: Initial steps involve undertaking studies and drafting legislation. Expected policy documents by area:				2001	25	NA																																																						
				2002	27	NA																																																						
				2003(T)	27	NA																																																						
<div>RECAPY/<table><tr><td>Yr/Area</td><td>RECC</td><td>REA</td><td>GMR</td><td>PIP</td><td>TOTAL</td></tr><tr><td>1997</td><td>3</td><td>1</td><td>1</td><td>1</td><td>6</td></tr><tr><td>1998</td><td>3</td><td>2</td><td>1</td><td>1</td><td>7</td></tr><tr><td>1999</td><td>2</td><td>0</td><td>3</td><td>2</td><td>7</td></tr><tr><td>2000</td><td>2</td><td>1</td><td>0</td><td>0</td><td>3</td></tr><tr><td>2001</td><td>2</td><td>0</td><td>0</td><td>0</td><td>2</td></tr><tr><td>2002</td><td>2</td><td>0</td><td>0</td><td>0</td><td>2</td></tr><tr><td>2003</td><td>0</td><td>0</td><td>0</td><td>0</td><td>0</td></tr><tr><td>Total</td><td>14</td><td>4</td><td>5</td><td>4</td><td>27</td></tr></table></div>							Yr/Area	RECC	REA	GMR	PIP	TOTAL	1997	3	1	1	1	6	1998	3	2	1	1	7	1999	2	0	3	2	7	2000	2	1	0	0	3	2001	2	0	0	0	2	2002	2	0	0	0	2	2003	0	0	0	0	0	Total	14	4	5	4	27
Yr/Area	RECC	REA	GMR	PIP	TOTAL																																																							
1997	3	1	1	1	6																																																							
1998	3	2	1	1	7																																																							
1999	2	0	3	2	7																																																							
2000	2	1	0	0	3																																																							
2001	2	0	0	0	2																																																							
2002	2	0	0	0	2																																																							
2003	0	0	0	0	0																																																							
Total	14	4	5	4	27																																																							
Timing - Annually (SOTL)																																																												
<div>Comments: To verify the reliability of partners' data collection process, this indicator was validated by USAID/Ecuador staff. Therefore actual results for FYs 1997, 1998 and 1999 have been adjusted to reflect the indicator validation.</div> <div>The most important documents developed in FY 1999 were the Forestry Policy, Strategy, Legislation, and Restructuring of the Forestry Department; the Regulations for the Special Law on Ecotourism; the New Law on Afro-Ecuadorian Territories; the Galapagos Marine Reserve Management Plan; and the Galapagos Law General Regulations.</div>																																																												

Text for SO b

Country/Organization: USAID Ecuador

Objective ID: 518-002-01

Objective Name: Increased use of sustainable family planning/maternal child health services

Self Assessment: Exceeding Expectations

Self Assessment Narrative: Performance well exceeded planned targets for 6 of the indicators in the SO 2 Framework. In the other indicator, cost recovery of two Family Planning NGOs, one exceeded its target, and the other NGO, which actually had a higher percentage of recovery, did not meet its more ambitious target.

Primary Link to Strategic Agency Framework: 4.2 Infant and Child Health/Nutrition
(please select only one)

Secondary Link to Strategic Agency Framework:
(select as many as you require)

- | | |
|--|--|
| <input type="checkbox"/> 1.1 Private Markets | <input type="checkbox"/> 1.2 Agricultural Development/Food Security |
| <input type="checkbox"/> 1.3 Economic Opportunity for Poor | <input type="checkbox"/> 2.1 Rule of Law/Human Rights |
| <input type="checkbox"/> 2.2 Credible Political Processes | <input type="checkbox"/> 2.3 Politically Active Civil Society |
| <input type="checkbox"/> 2.4 Accountable Gov't Institutions | <input type="checkbox"/> 3.1 Access to Education/Girl's Education |
| <input type="checkbox"/> 3.2 Higher Education/Sustainable Development | <input checked="" type="checkbox"/> 4.1 Unintended Pregnancies Reduced |
| <input checked="" type="checkbox"/> 4.2 Infant/Child Health/Nutrition | <input checked="" type="checkbox"/> 4.3 Child Birth Mortality Reduced |
| <input type="checkbox"/> 4.4 HIV/AIDS | <input type="checkbox"/> 4.5 Infectious Diseases Reduced |
| <input type="checkbox"/> 5.1 Global Climate Change | <input type="checkbox"/> 5.2 Biological Diversity |
| <input type="checkbox"/> 5.3 Sustainable Urbanization/Pollution | <input type="checkbox"/> 5.4 Environmentally Sound Energy |
| <input type="checkbox"/> 5.5 Natural Resource Management | <input type="checkbox"/> 6.1 Impact of Crises Reduced |
| <input type="checkbox"/> 6.2 Urgent Needs in Time of Crisis Met | <input type="checkbox"/> 6.3 Security/Basic Institutions Reestablished |
| <input type="checkbox"/> 7.1 Responsive Assist Mechanisms Developed | <input type="checkbox"/> 7.2 Program Effectiveness Improved |
| <input checked="" type="checkbox"/> 7.3 Commit Sustainable Development Assured | <input type="checkbox"/> 7.4 Technical/Managerial Capacity Expand |

Link to U.S. National Interests: Global Issues: Environment, Population, Health

Primary Link to MPP Goals: Global Growth and Stability

Secondary Link to MPP Goals (optional): No Secondary Linkage

Summary of the SO:

USAID's Strategic Objective 2, "Increased use of sustainable family planning/maternal child health services," is linked to the Agency Strategic Framework 4.2 improving infant child health; and 7.3 "Commitment to Sustainable Development"; supports the US national interest of protecting health and stabilizing world population and the Mission Program Plan objective of reducing population growth and promoting health reform. The ultimate beneficiaries of the SO are children 0-5 and fertile-aged women.

Key Results:

The achievement of the SO is measured by the accomplishment of the following key results developed with partners and customers: SO indicators of results are "Number of women and children (0-5) using improved or expanded MCH services", and "Contraceptive Prevalence Rate"; and at the IR level: IR 1, "Increased cost recovery of Family Planning (FP) NGO Partners;" IR 2, "Improved quality and access to family planning services;" IR 3, "Improved quality and access to MCH services;" and, IR 4, "Increased sustainability of health NGOs."

Performance and Prospects:

Summary Performance Statement:

SO 2 was scheduled for phase-out of all activities at the end of FY 2000. While a decision was made to extend support to family planning NGOs for another year, activities in 1999 concentrated on how to leave behind sustainable programs and organizations supported by USAID over the past three decades.

In FP and population, USAID continued to be the major donor in the sector, and therefore a critical player in achieving reduced fertility, increased contraceptive use and strengthening the role of NGO service providers and demographic analysis. In 1999, USAID funded CEPAR to carry out the nation's most widely representative and respected demographic and reproductive health survey, ENDEMAIN. This survey documented a decline from 1994-1999 of total fertility from 3.6% to 3.3%, and substantial increase in contraceptive prevalence from 56.8 to 66.3% (modern methods 51.3%, and traditional methods 15%). The importance of the private sector as the dominant supplier of FP commodities and services was also reconfirmed by ENDEMAIN.

Extension of SO 2 NGO FP activities through FY 2001 gives them additional critical time to recover from the severe economic crisis of 1999, and to further build up their sustainability funds.

In the health sector, USAID support for self-sustaining models of decentralized health care succeeded in increasing the use of improved MCH/Child survival services, as well as providing several viable models of health reform. Nine of ten local NGOs supported by our CARE/APOLO program exceeded their cost recovery targets; and there was notable success in FY 1999 in coordinating these efforts with the World Bank, IDB, Ministry of Health (MOH), and municipalities.

Performance Over the Past Year Relative to Plans:

SO level indicator "Women and children (0-5) using improved or expanded MCH services"- During FY 1999 the performance targets were met or exceeded. Total visits by women and children under five using improved or expanded MCH services increased from 479,000 in FY

1998 to 1,105,000 in FY 1999, far exceeding planned targets. These results were primarily due to the success in the implementation of activities with the MOH, through BASICS, RPM, and QA field support activities. During the reporting period a validation process was carried out by an outside consultant and findings were generally positive. Nevertheless, the decision for FY 2000 is to discontinue the collection of RPM and QA data because their activities have specific objectives and particular indicators for their programs, which are not comparable with NGO data sources more directly supported by USAID.

IR 1 indicator "Cost Recovery of FP NGOs"- From an overwhelming dependence on USAID/Ecuador for support, two NGO partners, APROFE and CEMOPLAF, have now achieved an average of over 80% cost recovery and are well on their way to long term sustainability. Both organizations built up a sustainability fund of several million dollars. During FY 1999 APROFE developed an emergency social marketing plan which resulted in an increase of 224% of this organization's couple years of protection (CYP) target, while increasing cost recovery; and CEMOPLAF initiated an aggressive campaign to increase demand and users of reproductive health services.

IR 2 indicator "Improved Quality and Access of Family Planning Services" - One of the two IRs that best illustrate the achievement of significant results in family planning this year, is CYP. CYP increased from 452,000 to 651,000. Complementary efforts were made to increase quality of services delivered to users. APROFE performed a Quality Survey in 15 cities. The data collected was very useful to design the marketing strategy of reproductive health services provided by the institution. CEMOPLAF conducted an assessment of each clinic to develop a strategy to improve quality of service and increase the number of users.

IR 4 indicator "CARE-APOLO supported NGOs achieving specific degree of cost recovery"- Ten NGOs receiving support through CARE exceeded planned levels of cost recovery. Given the financial crisis in Ecuador, the increasing cost recovery levels reported show that NGOs services have become an option for middle class patients who used to be users of private health physicians/clinics. In FY 2000 a series of field visits by USAID staff will be carried out to more closely monitor projections of NGOs sustainability beyond September 30, 2000.

Expected Performance in FY 2001:

A one year limited extension of the SO 2 was approved October 16, 1999, in order to continue supporting the two largest family planning NGOs in Ecuador, APROFE and CEMOPLAF. Key results in FY 2001 will be the increased sustainability of these partners, and improved quality and access to FP services. As a result of the financial and administrative assessment of CEMOPLAF, a Management Committee was created and a global strategy for FY 2000-2002 was developed which includes plans for cost reduction, social marketing and improved quality of services. CYP provided by APROFE and CEMOPLAF will have increased from 279,117 in FY 1994, to an estimated 750,000 in FY 2001.

Possible Adjustments to Plans:

Based on AA/LAC approval of the extension of SO 2 thru September 2001, APROFE and CEMOPLAF are actively working to offset the sharp depreciation of the sucre by introducing innovative marketing programs and reducing their cost structure for the provision of FP services.

These organizations are analyzing the impact that the recent GOE decision to substitute the Ecuadorian Sucre with the US Dollar will have on sustainability fund targets through FY 2001. Results targets for cost recovery for APROFE and CEMOPLAF are being adjusted for FY 2000 and added for FY 2001. SO level indicator "Number of visits by women and children (0-5) using improved/expanded MCH services", and IR 3 level indicator "Number of service delivery points with improved/expanded packages of maternal/child health services" will delete source information from RPM and QA in FY 2000.

Other Donor Programs:

The World Bank has two large loans: \$45 million for health sector modernization, emphasizing decentralized health networks and an ongoing \$70 million loan (plus a 1999 add on of \$ 20 million) for strengthening the MOH and for supporting the construction of health, water and sanitation facilities; and national nutrition program.

Major Contractors and Grantees:

USAID will implement FP activities through APROFE and CEMOPLAF, and two key field support contractors Johns Hopkins University (both JHPIEGO and the Population Communications Services Program), and John Snow Inc.

Performance Data Table

Objective Name: Increased use of sustainable family planning/maternal child health services			
Objective ID: 518-002-01			
Approved: 07/01/97		Country/Organization: USAID Ecuador	
Result Name: IR 2.0 - Increased use of sustainable family planning/maternal child health services			
Indicator: Women and children (0-5) using improved or expanded MCH services			
Unit of Measure: Number of visits (000) by women and children (PER YEAR)	Year	Planned	Actual
Source: CARE-APOLO Letter No. 21448, dated 10/29/99, QA Letter dated 11/04/99, RPM Letter dated 10/29/99, and BASICS Fax dated 10/29/99	1995(B)	0 (Chld) 0 (Wom)	0 (Chld) 0 (Wom)
	1997	35 (Chld) 100 (Wom)	116 (Chld) 107 (Wom)
Indicator/Description: This indicator focuses on efforts to expand access through the private sector and decentralization of services. Service improvement is achieved through: NGOs - CARE: TA or training provided, systems strengthened.	1998	70 (Chld) 187 (Wom)	293 (Chld) 186 (Wom)
	1999	120 (Chld) 334 (Wom)	735 (Chld) 370 (Wom)
	2000(T)	127 (Chld) 73 (Wom)	*
MOH - IMCI/BASICS: Integrated treatment of children provided. Quality Assurance/QA: Quality improvement activity implemented, such as reduced waiting time or reduced number of surgical infections. RX use/RPM: Improved use and access to/availability of drugs-medications.			
Timing - Annually (RPM-2)			
Comments: *During FY 2000 Mission will discontinue the collection of RPM and QA data because their activities have specific objectives and indicators for their programs which are not comparable with NGO data sources more directly supported by USAID. FY 2000 target has been adjusted accordingly.			

Performance Data Table

Objective Name: Increased use of sustainable family planning/maternal child health services			
Objective ID: 518-002-01			
Approved: 07/01/97 Extension approved 9/01/99		Country/Organization: USAID Ecuador	
Result Name: IR 2.1 - Increased cost recovery of FP NGO partners			
Indicator: Cost recovery level			
Unit of Measure: Percentage of total costs covered by NGO generated income	Year	Planned	Actual
Source: Financial Analysis Reports prepared by the USAID Controller's Office,CEMOPLAF dated January 3, 2000 and APROFE dated December 2, 1999.	1996(B)	NA	69.2 (AP) 66.5 (CEM)
	1997	86.7 (AP) 63.4 (CEM)	82 (AP) 67 (CEM)
Indicator/Description: Cost recovery, along with institutional maturity, is crucial to long term sustainability of the family planning organization. This indicator will be verified by NGO statistics and periodic audited financial information. The target is set without taking into account the sustainability funds, so even though the NGOs do not reach 100% sustainability, they will have these funds to draw upon at the end of the current agreements with USAID/Ecuador.	1998	90.9 (AP) 67.6 (CEM)	84 (AP) 74 (CEM)
	1999	94.1 (AP) 72.2 (CEM)	88 (AP) 76 (CEM)
	2000	89 (AP) 78 (CEM)	NA
	2001 (T)	90(AP) 80 (CEM)	
The formula used to calculate the sustainability rate is total income generated divided by all expenditures. The value of the USAID donations in kind (contraceptives) was treated as part of the total USAID donation in dollars.			
Timing - Annually (RPM-1)			
Comments: APROFE did not meet the very ambitious target due to the country's economic crisis (61% inflation and a depreciation of the sucre from 7,000 to 25,000/dollar) which has had a significant negative impact on its income. APROFE has initiated a strong marketing program which demonstrated, as in the case of CEMOPLAF, that it contributes greatly to the cost recovery level and CYPs.			
Targets for FY 2000 are adjusted to more accurately reflect past trends, current economic crisis and future possibilities. New 2001 target added due to extension of the SO.			
Data has been verified for reliability.			

Performance Data Table

Objective Name: Increased use of sustainable family planning/maternal child health services			
Objective ID: 518-002-01			
Approved: July 1997 Extension approved 9/99		Country/Organization: USAID Ecuador	
Result Name: IR 2.2 - Improved quality and access to family planning services			
Indicator: Couple Years of Protection (CYP) provided by APROFE and CEMOPLAF			
Unit of Measure: Estimated protection provided by family planning services for a one year period, based upon volume & type of contraceptives distributed	Year	Planned	Actual
	1994(B)	NA	279,117
	1997	553,439	326,050
Source: Calculation from service statistics of APROFE and CEMOPLAF: APROFE Fax dated 10/21/99 and CEMOPLAF Fax dated 10/21/99	1998	373,177	452,884
	1999	428,825	642,819
	2000	700,000	
Indicator/Description: This indicator measures quality and access to family planning services. The public sector was not included in this indicator because USAID/Ecuador contribution to their program is small and more importantly there is no reliable data.	2001 (T)	750,000	
Timing - Annually (RPM-1)			
Comments: The overall CYP target for FY1999 was exceeded, CEMOPLAF and APROFE participated in a contraceptive social marketing program, especially to pharmacies.			
In line with actual production of APROFE and CEMOPLAF in FY 1999 the CYP targets were adjusted, upward for FY 2000 and target for FY 2001 added.			
Data has been verified for reliability and accuracy.			

Performance Data Table

Objective Name: Increased use of sustainable family planning/maternal child health services			
Objective ID: 518-002-01			
Approved: 07/01/97		Country/Organization: USAID/Ecuador	
Result Name: IR 2.4 - Increased sustainability of health NGOs			
Indicator: CARE-APOLO supported NGOs achieving specific degree of cost recovery			
Unit of Measure: Number of NGOs recovering percentage of total budget	Year	Planned	Actual
	1996(B)	NA	4 @ 50%
Source: CARE-APOLO Letter No. 21460 dated 11/05/99			3 @ 20%
Indicator/Description: The APOLO-supported NGOs cost recovery indicator is the income generated through provision of services by the NGOs, as a percentage of total operating costs (synonymous with "budget" if capital expenditures not included). Pilot projects have been grouped based on sustainability achievements. Group A: (1) Fundación Pablo Jaramillo in Cuenca, (2) CEMOPLAF in Otavalo, (3) CEMOPLAF in Lago Agrio, (4) ASME-CX in Santo Domingo. Group B: (1) Cristo Redentor in Santa Elena, (2) Municipality of Chordeleg, (3) Municipality of Bolivar. Group C: (1) Fundación Salud y Desarrollo in Pedro Vicente Maldonado, (2) Funedesin in Mondana, Oriente, (3) Diócesis de Riobamba			3 @ 0%
	1997	4 @ 55%	4 @ 68% Avg
		3 @ 25%	3 @ 39% Avg
		3 @ 5%	3 @ 0%
	1998	4 @ 60%	4 @ 66% Avg
		3 @ 30%	3 @ 61% Avg
	3 @ 10%	2 @ 25% Avg	
		1 @ 0%	
	1999	4 @ 70%	4 @ 84% Avg
		3 @ 40%	3 @ 76% Avg
		3 @ 20%	3 @ 30% Avg
	2000(T)	4 @ 80%	NA
		3 @ 50%	
		3 @ 30%	
Timing - Annually (SOTL)			
Comments: Data has been reviewed for accuracy and timeliness (except for Fundación Salud y Desarrollo and Funedesin). Actions are underway to verify reliability of partners' data collection process, especially small NGOs in Group C.			

Text for SO c

Country/Organization: USAID/Ecuador

Objective ID: 518-004-01

Objective Name: Increased access to financial services by microentrepreneurs, with emphasis on women

Self Assessment: Exceeding Expectations

Self Assessment Narrative: The program exceeded expectations in three areas: the increase in the number of new village banks created, the number of microentrepreneurs assisted (except for Banco Solidario which had deposits of clients "frozen" by the GOE), and self-sustainability of the three village banking partners reaching 100%. USAID/Ecuador investments in technical assistance and training resulted in a new financial institution starting microlending activities during FY 1999.

Primary Link to Strategic Agency Framework: 1.3 Economic Oppty for Rural/Urban Poor
(please select only one)

Secondary Link to Strategic Agency Framework:
(select as many as you require)

- | | |
|---|--|
| <input type="checkbox"/> 1.1 Private Markets | <input type="checkbox"/> 1.2 Ag Development/Food Security |
| <input checked="" type="checkbox"/> 1.3 Economic Opportunity for Poor | <input type="checkbox"/> 2.1 Rule of Law/Human Rights |
| <input type="checkbox"/> 2.2 Credible Political Processes | <input type="checkbox"/> 2.3 Politically Active Civil Society |
| <input type="checkbox"/> 2.4 Accountable Gov't Institutions | <input type="checkbox"/> 3.1 Access to Ed/Girl's Education |
| <input type="checkbox"/> 3.2 Higher Ed/Sustainable Development | <input type="checkbox"/> 4.1 Unintended Pregnancies Reduced |
| <input type="checkbox"/> 4.2 Infant/Child Health/Nutrition | <input type="checkbox"/> 4.3 Child Birth Mortality Reduced |
| <input type="checkbox"/> 4.4 HIV/AIDS | <input type="checkbox"/> 4.5 Infectious Diseases Reduced |
| <input type="checkbox"/> 5.1 Global Climate Change | <input type="checkbox"/> 5.2 Biological Diversity |
| <input type="checkbox"/> 5.3 Sustainable Urbanization/Pollution | <input type="checkbox"/> 5.4 Environmentally Sound Energy |
| <input type="checkbox"/> 5.5 Natural Resource Management | <input checked="" type="checkbox"/> 6.1 Impact of Crises Reduced |
| <input type="checkbox"/> 6.2 Urgent Needs in Time of Crisis Met | <input type="checkbox"/> 6.3 Security/Basic Institutions Reestablished |
| <input type="checkbox"/> 7.1 Responsive Assist Mechanisms Developed | <input type="checkbox"/> 7.2 Program Effectiveness Improved |
| <input type="checkbox"/> 7.3 Commit Sustainable Development Assured | <input checked="" type="checkbox"/> 7.4 Technical/Managerial Capacity Expand |

Link to U.S. National Interests: Economic Prosperity

Primary Link to MPP Goals: Economic Development

Secondary Link to MPP Goals (optional): Global Growth and Stability

Summary of the SO:

USAID/Ecuador's Special Objective (SpO), "Increased access to financial services by microentrepreneurs, with emphasis on women" supports the US national interest of promoting global economic growth in development and transitional economies. This contributes to the MPP objective of "Broad-based growth: Assist Ecuador in reaching sustained economic growth with policies that raise income levels for all groups, especially the poor".

The World Bank's 1995 Ecuador Poverty Report and other studies on the sector show that in Ecuador, the pool of existing and potential microentrepreneurs is 1.1 million people, with about 450,000 microenterprises. Over half of these are owned and operated by women. USAID/Ecuador has designed activities to bring quality financial services to the poor, thereby helping them to build stronger enterprises which will ultimately improve their incomes and quality of life.

Key Results:

This SpO supports three Intermediate Results: IR 1, "New licensed, for profit, financial institutions serving the needs of the microentrepreneurs," IR 2, "Upgraded microcredit delivery systems of selected financial institutions and NGOs", and IR 3, "Strengthened institutions implementing village banking programs." By the end of FY 2000, an estimated of 754 village banks will be established; 50,000 microentrepreneurs will be assisted by our partners; and, the 3 village banking institutions will achieve 100% self-sustainability to continue the microlending activities when USAID/Ecuador assistance ends.

Performance and Prospects:

Summary Performance Statement

Microcredit activities were initiated in FY 1996, with a major USAID contribution to CARE and Seed Capital Development Fund (SCDF) for equity investments in Banco Solidario, a fully private bank created to serve Ecuador's microenterprise sector. This contribution permitted the Bank to meet the Superintendency of Banks capital adequacy requirement of \$18 million by FY 1998. During these years, Banco Solidario has improved the delivery of financial services to microentrepreneurs, through ten branch offices in suburban Quito, Guayaquil and other cities. Similarly, our village banking partners have experienced significant growth and have moved forward in achieving financial sustainability. The planned target of 100% self-sustainability by FY 2000 appears realistic. USAID/Ecuador also conducted an analysis of the banking system and identified several commercial banks interested in initiating and significantly expanding microenterprise lending. Through a one-year contract with Accion International, technical assistance and training on microenterprise best practices was provided to six selected banks.

Performance Over the Past Year Relative to Plans

Despite the devastating effects of chronic inflation and the severe banking crisis, program performance was exceeded during FY 1999. As of September 1999, Banco Solidario's microcredit portfolio increased to about 14,000 active clients. One of the findings of the international audits of the Ecuadorian banking system in 1999, was the rating of "A" for Banco Solidario. Village banking activities with Catholic Relief Services (CRS), Project Hope and

Foundation for International Community Assistance (FINCA) created 361 new village banks, benefiting an additional 8,000 poor women. Despite the achievement of the average of 103% for sustainability by these partner institutions in FY 1999, USAID/Ecuador has assisted them in identifying new sources of financing, either locally through Banco Solidario, or internationally through Citizens' Energy and Citicorp Foundation. The banking crisis derailed new programs for USAID assisted microenterprise lending by two large national banks, Banco de Crédito and Filanbanco, that went into receivership with the Deposit Guarantee Agency (AGD). One of the largest surviving banks, Banco del Pichincha received training support and started its micro lending program through Credife. It reached 194 clients by the end of September 1999. Finally, a new grant in the amount of \$300,000 was provided to Fundación Alternativa for its Training Center, which will provide training to the staff of national and international financial institutions engaged in and/or interested in microcredit. In February 1999, the Training Center received a grant from the Argentinean Social Capital Fund (FONCAP) to provide training to a group of Argentinean banks, financial institutions, and NGOs interested in providing financial services to microentrepreneurs.

Expected Progress for FY 2000

USAID partners SCDF, CARE, Accion International, and Profund will continue providing technical assistance to Banco Solidario to increase and improve the delivery of quality financial services to microentrepreneurs through the end of FY 2000, completion date for this SpO. Support to village banking will continue with a view toward achieving a network of NGOs with sustainable anti-poverty lending programs. In addition, USAID will continue to work with the formal banking system (Credife of Banco del Pichincha) by providing a matching fund for technical assistance to the microenterprise sector. CARE and SCDF already invested in LA-CIF, an offshore microenterprise guarantee fund which will be implemented in Ecuador as soon as the economic situation of the country improves.

Possible Adjustments to Plans:

USAID partners will be carrying out an in-depth analysis of the recent economic reform legislation approved by Congress. It will include the inflationary impact of the utilization of the US dollar as the means of payment, the impact of the sharp devaluation of the sucre and decreases in interest rates, and the possibility of adjusting the targets for this SpO.

Other Donor Programs:

The only other donor in this section is the World Council of Credit Unions that indirectly serves the microenterprise sector, providing technical assistance worth \$500,000 annually to 19 credit unions, whose members include microentrepreneurs. The IDB operated two lines of credit that ended in 1999 but is considering another program in the context of an IMF Stand-by Agreement.

Major Contractors and Grantees:

USAID/Ecuador's assistance to microentrepreneurs is implemented through U.S. and Ecuadorian NGOs: CARE, Accion International, Fundación Alternativa, Development Alternatives Inc., Carana Associates, SCDF, CRS, FINCA, and Project HOPE.

Performance Data Table

Objective Name: Increased access to financial services to microentrepreneurs, with emphasis on women				
Objective ID: 518-004-01				
Approved: 07/01/97			Country/Organization: USAID Ecuador	
Result Name: IR 0.2 - Increased access to financial services to microentrepreneurs, with emphasis on women				
Indicator: Increase in the number of microentrepreneurs assisted by USAID partner organizations, disaggregated by gender				
Unit of Measure: Number of borrowers (000s) (CUMULATIVE)		Year	Planned	Actual
		1996(B)	NA	1.3 (M) 1.0 (F)
Source: Banco Solidario report letter dated 10/29/99; CRS letter dated 11/4/99; FINCA letter dated 11/13/99; Project Hope letter dated 11/10/99; Credife fax dated 11/10/99		1997	14.5 (M) 7.3 (F)	4.1 (M) 6.9 (F)
		1998	7.0 (M) 15.1 (F)	6.4 (M) 15.1 (F)
Indicator/Description: Cumulative Planned Number of Borrowers (000,0) by partner:		1999	10.7 (M) 23.5 (F)	6.9 (M) 23.4 (F)
		2000(T)	15.8 (M) 34.2 (F)	NA
	1997	1998	1999	2000
Banco Solidario	9.0	14.1	19.4	27.5
CRS/FINCA/Hope	2.8	8.1	12.8	18.5
Others	0.0	0.0	2.0	4.0
Total	11.8	22.2	34.2	50.0
<p>a) Numbers for Banco Solidario reflect loans below \$5,000.</p> <p>b) The "others" line item includes formal banks that we expect will initiate microlending activities beginning in FY 1999.</p> <p>Timing - Quarterly (RPM-2)</p>				
<p>Comments:</p> <p>The target number of borrowers was exceeded under the Village Banking component. Banco Solidario could not meet its target due to the economic and financial crisis which has had the following effects: a) reduced demand for credit due to bank accounts frozen; high interest rates; political and economical instability; closing of small, medium and microenterprises; b) low liquidity of the financial system, reducing the capacity to provide loans.</p> <p>For FY 1999 "others" include Credife figures from March 99 when this institutions started microlending operations.</p> <p>Actions are underway to verify reliability of partners' data collection processes.</p>				

Performance Data Table

Objective Name: Increased access to financial services to microentrepreneurs, with emphasis on women						
Objective ID: 518-004-01						
Approved: 07/01/97				Country/Organization: USAID Ecuador		
Result Name: IR 0.2.3 - Strengthened institutions implementing village banking programs						
Indicator: Increased number of village banks						
Unit of Measure: Number of new village banks (CUMULATIVE)				Year	Planned	Actual
				1996(B)	NA	80
Source: CRS letter dated 11/4/99, FINCA letter dated 11/10/99, Project Hope letter dated 11/10/99				1997	200	196
				1998	368	342
Indicator/Description: Planned Number of New Banks disaggregated by partner.				1999	545	703
				2000(T)	754	NA
	1996	1997	1998	1999	2000	Total
CRS	10	36	60	40	40	186
Hope	70	40	33	57	89	289
FINCA	0	44	75	80	80	279
Total	80	120	168	177	209	754
Timing - Quarterly (RPM-2)						
Comments:						
The three institutions, CRS, FINCA and Project Hope, surpassed the cumulative planned target for FY 1999.						
Actions are underway to verify reliability of partners' data collection processes.						

Performance Data Table

Objective Name: Increased access to financial services to microentrepreneurs, with emphasis on women					
Objective ID: 518-004-01					
Approved: 07/01/97			Country/Organization: USAID Ecuador		
Result Name: IR 0.2.3 - Strengthened institutions implementing village banking programs					
Indicator: Percentage of program administration costs covered by non-USAID resources.					
Unit of Measure: Percent (Average of 3 institutions)			Year	Planned	Actual
Source: CRS letter dated 11/4/99, FINCA letter dated 11/10/99, Project Hope letter dated 11/10/99			1996(B)	NA	45%
			1997	60%	65%
Indicator/Description: Actual levels disaggregated by partner:			1998	75%	79%
			1999	90%	102%
			2000(T)	100%	NA
	1997	1998	1999		
CRS	65%	75%	83%		
Hope	64%	84%	85%		
Finca	65%	78%	137%		
Average	65%	79%	102%		
Timing - Quarterly (RPM-2)					
Comments:					
In FY 1999 the average percentage of self-sustainability exceeded 100%.					
Although the planned average sustainability rate shows that the target was achieved in FY 1999, this indicator will continue being monitored closely since it is important for the three institutions to meet the 100% target by the end of FY 2000, when USAID assistance ends.					
Actions are underway to verify reliability of partners' data collection processes.					

Text for SO d

Country/Organization: USAID/Ecuador

Objective ID: 518-005-01

Objective Name: Improved sustainable capacity of selected public and private institutions to prevent pollution

Self Assessment: Not Meeting Expectations

Self Assessment Narrative: As many industrial firms went out of business during Ecuador's serious political and economic crisis, expected results in this SpO have not been met. Despite this situation, Oikos Corporation has continued to promote debate at the national level regarding priorities for pollution prevention and control.

Primary Link to Strategic Agency Framework:

(please select only one)

5.3 Sustainable Urbanization/Pollution

Secondary Link to Strategic Agency Framework:

(select as many as you require)

- | | |
|---|--|
| <input type="checkbox"/> 1.1 Private Markets | <input type="checkbox"/> 1.2 Ag Development/Food Security |
| <input type="checkbox"/> 1.3 Economic Opportunity for Poor | <input type="checkbox"/> 2.1 Rule of Law/Human Rights |
| <input type="checkbox"/> 2.2 Credible Political Processes | <input type="checkbox"/> 2.3 Politically Active Civil Society |
| <input type="checkbox"/> 2.4 Accountable Gov't Institutions | <input type="checkbox"/> 3.1 Access to Ed/Girl's Education |
| <input type="checkbox"/> 3.2 Higher Ed/Sustainable Development | <input type="checkbox"/> 4.1 Unintended Pregnancies Reduced |
| <input type="checkbox"/> 4.2 Infant/Child Health/Nutrition | <input type="checkbox"/> 4.3 Child Birth Mortality Reduced |
| <input type="checkbox"/> 4.4 HIV/AIDS | <input type="checkbox"/> 4.5 Infectious Diseases Reduced |
| <input type="checkbox"/> 5.1 Global Climate Change | <input type="checkbox"/> 5.2 Biological Diversity |
| <input type="checkbox"/> 5.3 Sustainable Urbanization/Pollution | <input checked="" type="checkbox"/> 5.4 Environmentally Sound Energy |
| <input type="checkbox"/> 5.5 Natural Resource Management | <input type="checkbox"/> 6.1 Impact of Crises Reduced |
| <input type="checkbox"/> 6.2 Urgent Needs in Time of Crisis Met | <input type="checkbox"/> 6.3 Security/Basic Institutions Reestablished |
| <input type="checkbox"/> 7.1 Responsive Assist Mechanisms Developed | <input type="checkbox"/> 7.2 Program Effectiveness Improved |
| <input type="checkbox"/> 7.3 Commit Sustainable Development Assured | <input type="checkbox"/> 7.4 Technical/Managerial Capacity Expand |

Link to U.S. National Interests: Global Issues: Environment, Population, Health

Primary Link to MPP Goals: Environment

Secondary Link to MPP Goals (optional): Environment

Summary of the SO:

USAID/Ecuador's Special Objective, "Improved sustainable capacity of selected public and private institutions to prevent pollution," supports the US national interest of securing a sustainable global environment in order to protect the US and its citizens from the effects of international environmental degradation. This is consistent with the Mission Performance Plan objective of promoting the sustainable use and responsible stewardship of Ecuador's unique biodiversity.

Key Results:

Key Intermediate Results are: IR 1, "Expanded NGO (Oikos Corporation) technical assistance to local firms, universities, and municipalities on pollution prevention;" and, IR 2, "Increased dissemination of technical information on cleaner production technologies, international trade environmental concerns, and urban environmental management." Ecuador's increasing urban and peri-urban residents who lack access to potable water, sanitary systems, and a pollution-free, residential and work environment, benefit from these activities.

Performance and Prospects:

Summary Performance Statement

Oikos Corporation continued to be extremely effective in convincing an increasing number of Ecuadorian industries to adopt cleaner production technologies and energy-efficient practices. Industrial sectors involved include textiles, tanneries, ceramics, edible oils processing, and metal mechanics, among others. This broad cross section of sectors allowed Oikos technical assistance to cover several provinces within the country.

Oikos continued its outreach activities, working with municipalities, universities, industrial firms, and the public in general. In addition, Oikos supported municipalities interested in environmental development through the preparation of municipal environmental initiatives leading to the publication of policies and ordinances and the implementation of improved solid waste management practices.

Performance Over the Past Year Relative to Plans

Promotion efforts expanded awareness of cleaner production initiatives and their implementation. Industrial sector leaders openly shared their initiatives with the general public. During FY 1999, 18 additional industries (bringing the total to 52) participated in the complete environmental audit process (pre-assessments through full assessments to implementation of recommendations). The economic crisis has had a serious impact on the industrial sector, because firms have postponed setting aside necessary funds for implementing cleaner production technologies and energy efficient practices. Oikos was not deterred from promoting pollution prevention and cleaner production, and reached an additional 154 firms, bringing the total to 541 firms nationwide.

During FY 2000 Oikos reviewed the list of municipalities to identify the most responsive ones and initiate a cleaner production policy and solid waste management program. As a result, 11 municipalities started programs to approve and develop pollution control ordinances and their application. In addition, RUDO/LA funded technical assistance to strengthen the capacity of two municipalities, Santa Cruz and San Cristobal in the Galapagos Islands. This support provided for the establishment of garbage collection systems and the commercialization of recyclable products. Together with the six municipalities reported in previous fiscal years, these two municipalities

bring to a total of eight, those that have adopted and implemented the model for solid waste management through concessions with environmental microenterprises.

Oikos is Ecuador's primary source of technical information on cleaner production and environmental technologies. As the provision of services through the Oikos Information Center slowed during FY 1999. Efforts were dedicated to the creation of a cleaner production information Web page database that has been operating since November 15, 1999. As of December 30, 1999, 160 site visits have been registered. This is an important achievement since no other center known to USAID is providing similar services.

In addition, Oikos continued promoting the GLOBE Program, that now comprises thirty-one high schools (up from 10 last year) -- all active participants in the program. Also, Oikos has developed a system to incorporate local and international private firms participation through a school adoption mechanism, to finance equipment and educational material of the GLOBE Program.

Expected Performance in FY 2000

This Special Objective ends in September 2000. The primary focus during this period will be to ensure the sustainability of past USAID/Ecuador investments which sought to strengthen the technical, fund raising, and income generation capabilities of Oikos Corporation. The prognosis for full achievement of this SpO and its IRs during the remaining time allotted is good. In FY 2000, Oikos Corporation will continue working with industrial firms to improve production techniques while reducing pollution and costs. In addition, Oikos assistance to municipalities in the adoption of cleaner production policies and improved solid waste management practices will continue. Finally, Oikos has in place a sustainability plan that maps out specific steps to reduce its dependence on USAID/Ecuador funding and increase its own contribution, as well as those from other sources.

Possible Adjustments to Plans:

None are contemplated at this time.

Other Donor Programs:

Oikos Corporation has received small amounts of assistance from other donors for environmental education and pollution prevention activities, namely UNIDO/ UNDP, World Bank and the IDB. It is anticipated that the USAID supported program for environmental assessments of industries will be continued by Oikos Corporation with German, Dutch Government and Swiss support. Host country and NGO contributions to achieve this Special Objective total over \$1,500,000.

Major Contractors and Grantees:

USAID/Ecuador implements pollution prevention activities through the Oikos Corporation.

Performance Data Table

Objective Name: Improved sustainable capacity of selected public and private institutions to prevent pollution			
Objective ID: 518-005-01			
Approved: 2/1/98		Country/Organization: USAID Ecuador	
Result Name: IR 0.1 - Improved sustainable capacity of selected public and private institutions to prevent pollution			
Indicator: Number of industrial plants implementing cleaner production technologies in their production processes			
Unit of Measure: Number of firms (CUMULATIVE)	Year	Planned	Actual
Source: Oikos Annual progress report, GG-06-99-1803 and letter GG-06-99-2015 dated 11/8/99	1995(B)	NA	3
	1996	10	14
Indicator/Description: Cleaner production technologies refer to standards recommended by E2P3. The process has several stages: pre-assessments; full assessments; recommendations for specific plants; implementation. This entire process takes an average three years.	1997	20	19
	1998	40	34
	1999	80	52
	2000(T)	100	NA
Timing - Quarterly (RPM)			
Comments: As a result of validation of program performance data of FY 1996, Oikos reviewed its records to determine that what has been reported as actual cumulative results met the established standards. Main findings were: 1) that different stages of the process were reported as individual results, thus causing double counting, and 2) that all firms had not yet implemented recommendations. Consequently, the FY 1998 actual cumulative result of 34 firms provides a more accurate indicator of achievement. The actual figures for FY 1995 to FY 1997 were revised during FY 1999 to reflect the findings of a new validation exercise. As of December 31, 1999, 9 additional industrial firms have implemented cleaner production technologies in their production processes.			
For more detail information please refer to Annual Source.			

Performance Data Table

Objective Name: Improved sustainable capacity of selected public and private institutions to prevent pollution						
Objective ID: 518-005-01						
Approved: 2/1/98			Country/Organization: USAID Ecuador			
Result Name: IR 0.1 - Improved sustainable capacity of selected public and private institutions to prevent pollution						
Indicator: Number of municipalities adopting cleaner production policies and/or improved solid waste management practices						
Unit of Measure: Number of municipalities (CUM)		Year		Planned	Actual	
Source: Oikos Annual Report GG-06-99-1803; Oikos letter GG-06-99-2015 dated 11/8/99; and Oikos letter GG-06-99-2163 dated 11/30/99. 1999 report on Integrated Management of Solid Wastes Project for Galapagos Islands (RUDO/LA, Fundación Carvajal).		1996 (B)		2	1	
		1997		3	2	
		1998		11	11	
		1999		14	13	
Indicator/Description: Approximately 5 municipalities will implement cleaner production (CP) policy initiatives. Approximately 19 municipalities will implement sound environmental solid waste management (SWM) services. Therefore, for the 24 municipalities, there will be 5 municipalities with CP policies and 19 municipalities with SWM services. (* = accomplished)		2000 (T)		24	NA	
Municipality		1996	1997	1998	1999	2000
Ambato		--	CP	*	--	--
Catamayo		--	--	--	--	SWM
Celica		--	--	--	SWM	--
Cevallos		--	--	--	--	SWM
Cuenca		--	--	CP*	--	--
Chaguarpamba		--	--	--	--	SWM
El Coca (RUDO/LA)		--	--	SWM*	--	--
El Chaco(RUDO/LA)		--	--	SWM*	--	--
Gonzanamá		--	--	--	--	SWM
San Cristóbal (RUDO/LA)		--	--	--	SWM*	--
Santa Cruz (RUDO/LA)		--	--	--	SWM*	--
Lago Agrio(RUDO/LA)		--	--	SWM*	--	--
Machala (RUDO/LA)		SWM*	--	--	--	--
Manta(RUDO/LA)		SWM	*	--	--	--
Mejía		--	--	CP*	--	--
Paltas		--	--	--	--	SWM
Patate		--	--	--	--	SWM
Pedro Vicente Maldonado		--	--	--	--	SWM
Piñas		--	--	CP*	--	--
Pelileo		--	--	--	--	SWM
Puerto Quito		--	--	--	--	SWM
Quito		--	--	CP*	--	--
Tisaleo		--	--	--	--	SWM
Shushufindi(RUDO/LA)		--	--	SWM*	--	--
TOTAL		2SWM	0SWM	4SWM	3SWM	10SWM
		0CP	1CP	4CP	0CP	0CP
Timing - Annually (RPM)						
Comments: Oikos has identified a list of the most responsive municipalities that would allow Oikos to meet the target. Therefore, the planned/actual targets have been adjusted to reflect actual obtained result (including RUDO/LA effort). Please see updated indicator description. During FY 2000 Oikos will be dedicated to support 11 municipalities on SWM. This process will have two steps: 1) Oikos will provide TA for the elaboration and approval of SWM ordinance and 2) Oikos will provide TA to implement at least one SWM practice of the approved ordinance. Actual results will consider the completion of both steps. As of December 31, 1999, 7 municipalities have elaborated and approved SWM ordinances (Celica, Catamayo, Paltas, Puerto Quito, Pedro Vicente Maldonado, Chaguarpamba, and Gonzanamá).						

Performance Data Table

Objective Name: Improved sustainable capacity of selected public and private institutions to prevent pollution			
Objective ID: 518-005-01			
Approved: 2/1/98		Country/Organization: USAID Ecuador	
Result Name: IR 1.2 - Increased dissemination of technical information on cleaner production technologies, international trade environmental concerns, and urban environmental management			
Indicator: Number of national entities consulting information sources on cleaner production and urban environmental management			
Unit of Measure: Number of entities (CUMULATIVE)	Year	Planned	Actual
Source: Oikos Annual Report GG-06-99-1803 and letter GG-06-99-2015, dated 11/8/99.	1996(B)	NA	19
	1997	50	48
Indicator/Description: Quarterly (RPM)	1998	100	81
	1999	150	87
	2000(T)	200	NA
Comments: 238 individuals have consulted Oikos information sources to date. The actual cumulative figure of 87 includes 28 entities that have used this services more than once. Actual figures were validated again in FY 99. During FY99, Oikos closed the Environmental Technology Information Center (CITA) and designed a Web page data base that is operating since November 15, 1999. Therefore, the unit of measure will change to "number of visits to Oikos Web page". As of December 30, 1999, 160 visits have been registered.			
Additionally, Oikos has continued sending environmental technology information to 357 individuals from private and public firms, chambers, municipalities, universities, provincial councils, NGOs, mass media, and other donors.			
For more detailed information please refer to Annual Source.			

Performance Data Table

Objective Name: Improved sustainable capacity of selected public and private institutions to prevent pollution			
Objective ID: 518-005-01			
Approved: 2/1/98		Country/Organization: USAID Ecuador	
Result Name: IR 1.2 - Increased dissemination of technical information on cleaner production technologies, international trade environmental concerns, and urban environmental management			
Indicator: Number of elementary and high schools integrated into a national network for information exchange on environmental observation and measurement			
Unit of Measure: Number of schools (CUMULATIVE)	Year	Planned	Actual
Source: Oikos Annual Report, GG-06-99, 1803 and letter GG-06-99-2015 dated 11/8/99.	1996(B)	NA	0
	1997	6	10
Indicator/Description: Timing - Annually (RPM)	1998	20	17
	1999	30	31
	2000(T)	40	NA
Comments: This indicator contributes specifically to Vice-President Gore's GLOBE program.			
Schools from different provinces are actively participating in this program.			
For more detailed information please refer to Annual Source.			

Text for SO e

Country/Organization: USAID/Ecuador

Objective ID: 518-011-01

Objective Name: Border Integration

Self Assessment: On Track

Self Assessment Narrative: Under Phase I of \$1.5 million, CARE under a cooperative agreement completed all the processes leading to results targeted for FY 2000, on or ahead of schedule.

Primary Link to Strategic Agency Framework: 1.3 Economic Oppty for Rural/Urban Poor
(please select only one)

Secondary Link to Strategic Agency Framework:
(select as many as you require)

- | | |
|--|--|
| <input checked="" type="checkbox"/> 1.1 Private Markets | <input type="checkbox"/> 1.2 Ag Development/Food Security |
| <input checked="" type="checkbox"/> 1.3 Economic Opportunity for Poor | <input type="checkbox"/> 2.1 Rule of Law/Human Rights |
| <input type="checkbox"/> 2.2 Credible Political Processes | <input type="checkbox"/> 2.3 Politically Active Civil Society |
| <input checked="" type="checkbox"/> 2.4 Accountable Gov't Institutions | <input type="checkbox"/> 3.1 Access to Ed/Girl's Education |
| <input type="checkbox"/> 3.2 Higher Ed/Sustainable Development | <input type="checkbox"/> 4.1 Unintended Pregnancies Reduced |
| <input checked="" type="checkbox"/> 4.2 Infant/Child Health/Nutrition | <input type="checkbox"/> 4.3 Child Birth Mortality Reduced |
| <input type="checkbox"/> 4.4 HIV/AIDS | <input type="checkbox"/> 4.5 Infectious Diseases Reduced |
| <input type="checkbox"/> 5.1 Global Climate Change | <input type="checkbox"/> 5.2 Biological Diversity |
| <input type="checkbox"/> 5.3 Sustainable Urbanization/Pollution | <input type="checkbox"/> 5.4 Environmentally Sound Energy |
| <input checked="" type="checkbox"/> 5.5 Natural Resource Management | <input type="checkbox"/> 6.1 Impact of Crises Reduced |
| <input type="checkbox"/> 6.2 Urgent Needs in Time of Crisis Met | <input type="checkbox"/> 6.3 Security/Basic Institutions Reestablished |
| <input type="checkbox"/> 7.1 Responsive Assist Mechanisms Developed | <input type="checkbox"/> 7.2 Program Effectiveness Improved |
| <input type="checkbox"/> 7.3 Commit Sustainable Development Assured | <input type="checkbox"/> 7.4 Technical/Managerial Capacity Expand |

Link to U.S. National Interests: Global Issues: Environment, Population, Health

Primary Link to MPP Goals: Regional Stability

Secondary Link to MPP Goals (optional): Economic Development

Summary of the SO:

As part of the peace negotiations, the Governments of Peru and Ecuador created a Binational Commission for Border Integration. This Commission met several times and developed, among other things, the Border Integration Agreement which calls for a regional development program

of investment, totaling \$3 billion. Since the peace settlement, the two governments have been working together to gain international donors' financial commitment to this program.

In response to the USG's desire to demonstrate support for the two countries, the Border Integration SpO was approved on May 28, 1999. The GOE requested that activities have a direct, positive, and visible impact on the lives of the people living in the border region. As a result, with an initial tranche of \$1.5 million in FY 1999, USAID approved a "First Phase Activity Design Document" and signed a Bilateral Agreement with the GOE and a Cooperative Agreement with CARE to implement only social services with a focus on health, water, and sanitation. Negotiations with the GOE on the use of the additional \$20 million have concluded. The Mission will proceed with the final design of activities to include water/sanitation/health; microfinance; strengthening the capacity of local governments; and promoting sustainable natural resource management.

Key Results:

The following key results are required to achieve this objective: 1) expanded income-generating opportunities for small and micro entrepreneurs; 2) increased availability and access to social services, with emphasis on health, water, and sanitation; 3) strengthened local government capacity and community participation; 4) improved natural resources management in border regions.

Performance and Prospects:

Summary Performance Statement:

Activities of the first phase of the Border Integration SpO were initiated at the end of FY 1999 and directly contribute to IR 3 "Increased availability and access to social services, with emphasis on health, water, and sanitation. The early start up of the design and construction of potable water systems is on track for achieving results targeted for FY 2000.

Another activity which has had a success in the short period of implementation of the SpO, is the working relationship developed with the local community health boards "comités de gestión local", providing meaningful participation of GOE organizations, municipalities and community organizations. CARE, the implementing agency under this activity, is building upon the methodology developed in Loja Province in the "Espacios Saludables" PAHO project. These activities are being implemented in five cantons of Loja Province (Zapotillo, Espíndola, Calvas, Puyango and Macará), and in one canton of El Oro Province (Huaquillas).

Performance Over the Past Year Relative to Plans:

The Cooperative Agreement with CARE was signed late July, 1999, and activities started in August, therefore no targeted results were accomplished prior to the end of FY 1999.

Expected Performance in FY 2001-2002:

Under the second phase of the Border Integration SpO, USAID/Ecuador will support a number of activities aimed at improving both the social and economic conditions on both sides of the border, contributing to a lasting peace. Many of these activities will be replications of successful USAID-supported programs that are currently being implemented in other parts of Ecuador.

In support of improved economic conditions, USAID/Ecuador will create opportunities for income generation by providing technical assistance, training and access to credit for microentrepreneurs and small farmers. Special emphasis will be given to poorer populations and women through the establishment of village banks to support income-generating activities.

Health interventions will focus on the design and construction of potable water and sewage systems, and latrines; dissemination of preventive health information; development of systems for garbage collection, recycling and disposal; and improving health services.

USAID/Ecuador will also support efforts to strengthen local governments, as border communities will only be able to take advantage of resources and opportunities generated by the peace accords to the extent they are able to plan, target and manage resources in a responsible and accountable manner. Funds will be used to train municipal leaders, civil society organizations and the population in general to assume new levels of involvement and responsibility. This training will then be applied in the development of small community-based projects (solid waste management, potable water, etc.).

In the area of natural resources management, USAID/Ecuador will provide assistance to the selected border areas for the development and implementation of natural resources management plans; and to support the preparation, modification and introduction of key policies, legal frameworks, and enforcement mechanisms in order to improve biodiversity conservation.

Possible Adjustments to Plans:

An expanded Activity Design Document (ADD), detailing activities and results indicators was developed in February, 2000. This elaborates further the ADD approved in FY 1999, but retains all the elements of the original design. After approving a bilateral agreement with the GOE, and subsequent cooperative agreement with a US NGO in late FY 2000, targets will be finalized for FY 2001-2005.

Other Donor Programs:

Over the next 10 years the Governments of Peru and Ecuador plan to contribute a total of \$1 billion to the Binational Plan and to solicit \$2 billion from the international community. To date, the IDB and the CAF have offered soft loans for \$500 million each, and the World Bank \$100 million, mainly to finance large-scale infrastructure projects. Other bilateral donors that have indicated tentative commitments are Japan (\$40 million), Germany (\$33 million), European Community (\$33 million), Italy (\$5 million) and Spain (approximately \$5 million). The GOE has started that it is using the USAID strategic approach as a model to leverage other donor and private sector investments.

Major Contractors and Grantees:

FY 2000 Phase I activities are being carried out by CARE. The follow-on border activities will be implemented through a number of public and private-sector partners including local governments, community organizations, and NGOs to be selected through open competition in FY 2000. US PVOs will be the primary direct grantees, under a bilateral agreement with the Ministry of Foreign Affairs.

Performance Data Table

Objective Name : Special Objective - Improved social and economic conditions of inhabitants along the Peru-Ecuador border thereby promoting border integration.			
Objective ID: 518-011-01			
Approved: June/1999		Country/Organization: USAID/Ecuador	
Result Name: Improved social and economic conditions of inhabitants along the Peru-Ecuador border thereby promoting border integration.			
Indicator: Number of persons who benefit form new/improved water, sanitation, solid waste disposal, and health services.			
Unit of Measure: Number of persons (CUMULATIVE)	Year	Planned	Actual
Source: CARE reports	1999 (B)	0	0
Indicator/Description: Timing - Annually (RPM)	2000	150,000	
	2001	168,000	
	2002	N/A	
	2003 (T)	N/A	
Comments: The Cooperative Agreement with CARE was signed late July 1999, and project started in August so there are no completed activities prior to the end of FY 1999. These targets will be revised after the signing of the cooperative agreement with a US NGO.			

Performance Data Table

Objective Name : Special Objective - Improved social and economic conditions of inhabitants along the Peru-Ecuador border thereby promoting border integration.				
Objective ID: 518-011-01				
Approved: June/1999		Country/Organization: USAID/Ecuador		
Result Name: IR 11.3 - Increased availability and access to social services, with emphasis on health, water, and sanitation.				
Indicator: 1. Number of new/improved potable water systems, 2. Number of beneficiaries				
Unit of Measure: Number of systems (1) and beneficiaries (2) (CUMULATIVE)	Year	Planned		Actual
	1999 (B)	(1)	(2)	(1) (2)
Source: CARE reports		0	0	0 0
Indicator/Description: Timing - Annually (RPM)	2000	11	5769	
	2001	11	5769	
	2002			
	2003 (T)			
Comments: The Cooperative Agreement with CARE was signed late July 1999, and project started in August, so there are no completed systems before end of FY 1999. These targets will be revised after the signing of the cooperative agreement with a US NGO.				

Performance Data Table

Objective Name : Special Objective - Improved social and economic conditions of inhabitants along the Peru-Ecuador border thereby promoting border integration.							
Objective ID: 518-011-01							
Approved: June/1999			Country/Organization: USAID/Ecuador				
Result Name: IR 11.3 - Increased availability and access to social services, with emphasis on health, water, and sanitation.							
Indicator: 1. Number of new/improved sanitation units, 2. Number of beneficiaries							
Unit of Measure: Number of units (1) and number of beneficiaries (2) (CUMULATIVE)		Year		Planned		Actual	
		1999 (B)		(1)	(2)	(1)	(2)
Source: CARE reports				0	0	0	0
Indicator/Description: Timing - Annually (RPM)		2000		1000	5769		
		2001		1000	5769		
		2002					
		2003 (T)					
Comments: Cooperative Agreement with CARE signed August 1999, so none completed by end FY 1999. No. of sanitation units assumes one letrine per family of 5 plus 10 school units. These targets will be revised after the signing of the cooperative agreement with a US NGO.							

Performance Data Table

Objective Name : Special Objective - Improved social and economic conditions of inhabitants along the Peru-Ecuador border thereby promoting border integration.			
Objective ID: 518-011-01			
Approved: June/1999		Country/Organization: USAID/Ecuador	
Result Name: IR 11.3 - Increased availability and access to social services, with emphasis on health, water, and sanitation.			
Indicator: Number of health services and facilities improved.			
Unit of Measure: Number of services/facilities (CUMULATIVE)	Year	Planned	Actual
	1999 (B)	0	0
Source: CARE reports	2000	4	
Indicator/Description:	2001	5	
	2002		
Timing - Annually (RPM)	2003 (T)		
Comments: Activities initiated late FY 1999. In addition to major improvements, 70,000 persons were benefitted from the Canal Zarumilla improvements and 77,716 received health education. These targets will be revised after the signing of the cooperative agreement with a US NGO.			

Text for SO f

Country/Organization: USAID/Ecuador

Objective ID: 518-012-01

Objective Name: More Effective and Fair Criminal Justice System

Self Assessment: On Track

Self Assessment Narrative: At the SO level, the anticorruption unit within the Public Ministry (a FY 2000 indicator) has been functioning and receiving training for more than 6 months resulting in several indictments (a FY 2001 indicator). Intermediate indicators of passage of a new Criminal Procedures Code and NGO sustainability have surpassed expectations in technical quality, and the establishment of an NGO/Public Sector Strategic Alliance Fund is on track. The IR 2 activity with the National Judicial Council and Supreme Court will start 6 months behind schedule because of the delay in the promulgation of the new Criminal Procedures Code. Technical assistance to the Deposit Guarantee Agency (AGD) in financial transparency led to the organization and the jump-starting of a program designed to recover up to \$2 billion of bank assets.

Primary Link to Strategic Agency Framework: 2.1 Rule of Law/Human Rights
(please select only one)

Secondary Link to Strategic Agency Framework:
(select as many as you require)

- | | |
|--|--|
| <input type="checkbox"/> 1.1 Private Markets | <input type="checkbox"/> 1.2 Ag Development/Food Security |
| <input type="checkbox"/> 1.3 Economic Opportunity for Poor | <input checked="" type="checkbox"/> 2.1 Rule of Law/Human Rights |
| <input type="checkbox"/> 2.2 Credible Political Processes | <input checked="" type="checkbox"/> 2.3 Politically Active Civil Society |
| <input checked="" type="checkbox"/> 2.4 Accountable Gov't Institutions | <input type="checkbox"/> 3.1 Access to Ed/Girl's Education |
| <input type="checkbox"/> 3.2 Higher Ed/Sustainable Development | <input type="checkbox"/> 4.1 Unintended Pregnancies Reduced |
| <input type="checkbox"/> 4.2 Infant/Child Health/Nutrition | <input type="checkbox"/> 4.3 Child Birth Mortality Reduced |
| <input type="checkbox"/> 4.4 HIV/AIDS | <input type="checkbox"/> 4.5 Infectious Diseases Reduced |
| <input type="checkbox"/> 5.1 Global Climate Change | <input type="checkbox"/> 5.2 Biological Diversity |
| <input type="checkbox"/> 5.3 Sustainable Urbanization/Pollution | <input type="checkbox"/> 5.4 Environmentally Sound Energy |
| <input type="checkbox"/> 5.5 Natural Resource Management | <input type="checkbox"/> 6.1 Impact of Crises Reduced |
| <input type="checkbox"/> 6.2 Urgent Needs in Time of Crisis Met | <input type="checkbox"/> 6.3 Security/Basic Institutions Reestablished |
| <input type="checkbox"/> 7.1 Responsive Assist Mechanisms Developed | <input type="checkbox"/> 7.2 Program Effectiveness Improved |
| <input type="checkbox"/> 7.3 Commit Sustainable Development Assured | <input type="checkbox"/> 7.4 Technical/Managerial Capacity Expand |

Link to U.S. National Interests: Democracy and Human Rights

Primary Link to MPP Goals: Democracy and Human Rights

Secondary Link to MPP Goals (optional): International Crime

Summary of the SO:

In FY 1999, USAID/Ecuador revised its democracy SO to redirect the bulk of its resources to strengthen the public sector justice institutions, with a secondary program to promote self-sustainability of justice NGOs and strategic alliances between private and public justice sector institutions.

USAID aims to promote a major change in the theory and practice of the rule of law in Ecuador by assisting the GOE to develop a significantly more effective and fair criminal justice system, through a transition from an inquisitory to an accusatory system using oral procedures at the trial stage of the process. The focus of this assistance is support for the government's efforts to effectively prosecute and gain convictions against those guilty of public or private corruption. This three year strategy consists of the approval of a new criminal procedures code allowing for more effective investigations, and the training of all the major players of the criminal justice sector in the application of the new Code, namely judicial police, prosecutors and judges (IR 1 and IR 2). Support must also be given to the formation of strategic alliances between CSOs and public sector justice institutions to monitor and control the application of the new criminal justice system (IR 3).

Key Results:

The approval of a new Criminal Procedures Code was the most important process indicator achievement at the SO level. The GOE's enactment and promulgation of this code was in no small way the result of intensive efforts by the DOJ's Resident Justice Advisor, and the USAID Director and technical staff, resulting in one of the most advanced Criminal Procedures Codes in all Latin America in permitting effective anti-corruption investigations by providing for virtually unlimited confidential investigations.

The most important intermediate indicator achieved was the creation and initiation of training for investigators in the pilot financial crimes unit within the Public Ministry. The unit is receiving training on three levels: specialized training in the area of financial crimes investigation, training in the new functions and relationships between investigators and prosecutors, and training on the methods of team work. The training received by this unit has enabled the Public Ministry to issue important indictments (a result achieved a year ahead of schedule) unprecedented in the judicial history of Ecuador, against politically powerful bankers and public officials who were major factors in the debacle of the Ecuadorian banking system. This indictment is also attributed to the close collaboration of the unit with the AGD staff assisted by Barents Group.

Among justice sector NGOs funded by USAID, the sustainability program under this SO has had significant success far beyond what was planned. An impact evaluation that was carried out in November 1999, concluded that NGOs will be able to continue their programs without any direct USAID funding after March, 2000.

Technical assistance to the Deposit Guarantee Agency (AGD) led to a savings of \$ 4 million in a Management Information System (MIS) for the assets of 11 banks under its receivership, and

prepared all files for upcoming due diligence and asset management financed by a follow-on technical assistance World Bank loan for \$10 million.

Performance and Prospects:

Summary Performance Statement:

In most framework areas, results have been generally excellent. Besides the key results mentioned, another major program achievement is the signing of the collaborative agreement, actively promoted by USAID for months, between the Public Ministry and the Judicial Police defining their new roles. The creation of the Strategic Alliance Justice Fund has resulted in an important increase in the collaboration of CSOs among themselves and/or with the public sector. This included the launching of a degree program in judicial reporting being implemented by the National Judicial Council and the Catholic University of Quito, and the training of prosecutors in the new domestic violence law to improve the protection of women victims. These achievements are the product of USAID/Ecuador's efforts, since the Mission is the first and by far the major donor to become involved in the criminal justice area.

Performance Over the Past Year Relative to Plans

One area where the ROL/DS program is slightly behind is IR 2, "Introduction of the Accusatory Justice System", involving studies, training and technical assistance principally to the Supreme Court and National Judicial Council. The activities under this IR depended on the approval of the new and improved Criminal Procedures Code. The political and economic turmoil of 1999, delayed the approval and promulgation of the Code until January, 2000. The lack of adequate TDY support to the OPDAT Resident Justice Advisor in the revision of secondary anticorruption legislation, in initiating contacts with relevant state institutions, and in initiating training in investigative and prosecutorial techniques, also hampered the achievement of full program expectations.

Expected Progress in FY 2001-2002

Performance is expected to continue to be excellent if the critical assumptions of political stability, economic recovery and political will are at least minimally realized. Unfortunately, there are serious doubts in these areas and each is a crisis issue. The dollarization program may fail, resulting in continued political instability and the commitment to reform may falter as the elites see their impunity threatened.

Possible Adjustments to Plans:

Adjustments to plans will depend on the type and degree of failure in these critical assumptions. Especially as regards to political will, while it may flag in the executive, it could continue strong among prosecutors and/or judges, which could justify continuing support to the sector which is using it profitably. Political will can also be a moving target, evolving in a positive as well as a negative direction, and well placed support may help it evolve towards greater commitment. If by the end of FY 2000, however, it is evident that the lack of political will is so extensive as to preclude significant positive results, the Mission may have to redirect its support to a more promising democracy objective, e.g. support to local democratic governments. Our judgement of the situation at present is that sufficient evidence of political will both in the Public Ministry and the Judiciary, as well as the many excellent results achieved thus far, fully justify continued USAID support at least for the rest of FY 2000.

Other Donor Programs:

To consolidate and extend the achievements of the program throughout the criminal justice system, coordination and collaboration with other multi and bilateral donors is necessary through direct contacts with the major donors themselves (particularly World Bank and IDB) and through technical assistance provided to the public and private beneficiary institutions in the development of projects to be presented to the donors. This strategy will be aided by the USAID-supported Justice Reform Plan which establishes the fight against corruption and the area of criminal justice as the first two priorities of reform.

Major Contractors and Grantees:

In accordance with USAID downsizing and the need to streamline program management, the number of management units in SO 12 has been reduced from 9 in FY 1999 to 3 in FY 2000, namely the DOJ, Fundación Esquel, and Barents Group. The cooperative agreement with a long time partner of USAID/Ecuador, the Latin American Corporation for Development (CLD) was terminated by mutual agreement, when their products were found to be consistently inferior, project personnel inexperienced and overextended, and promises to correct these errors unfulfilled.

Performance Data Table

Objective Name: More effective and fair criminal justice system			
Objective ID: 518-012-01			
Approved: 04/01/99		Country/Organization: USAID/Ecuador	
Result Name: IR 3.0 - More effective and fair criminal justice system			
Indicator: Increased number of convictions in corruption cases			
Unit of Measure: Planned actions completed/Number of convictions	Year	Planned	Actual
	1999 (B)	See indicator description	Met
Source: Public Ministry and Court Records			
Indicator/Description: There are a number of specific steps that must be accomplished prior to reaching the stage of actually continuing the number of convictions. These are laid out for the first years of indicator progress. FY 1999 - Anticorruption task force established, and joint training of prosecutors, police and judges undertaken. FY 2000 - Passage of the Criminal Procedures Code. FY 2001 - Judges agree with prosecutors on accusatory interpretation of indictment procedures (Note: This distinguishes this SO indicator more sharply from the IR 1 indicator.	2000	See indicator description	
	2001	Baseline established	
	2002	Initial increase of convictions (baseline by 100%	
	2003 (T)	Increase of convictions (baseline) by 300%	
Annually (SOTL)			
Comments: Baseline for anticorruption cases that have Supreme Court "fuero" and all other anticorruption cases managed in Superior and penal courts of Pichincha is a very time consuming task, and will be established by FY 2001 instead of FY 1999, as planned. It is only in FY 2002 that the SO will measure an increase of 100% over the baseline, thus Baseline is not required until FY 2001 to measure Program's final results.			

Performance Data Table

Objective Name: More effective and fair criminal justice system			
Objective ID: 518-012-01			
Approved: 04/01/99		Country/Organization: USAID/Ecuador	
Result Name: IR 3.1 - Improved capacity of government to combat public and private corruption			
Indicator: Increased number of corruption cases brought to trial			
Unit of Measure: Planned actions completed/Number of cases in selected crime area (s) (CUMULATIVE)	Year	Planned	Actual
	1999 (B)	TBD - Baseline established	See comments
Source: Public Ministry			
Indicator/Description: Specific steps need to be accomplished to enhance the capacity to bring cases to trial prior to counting the actual increase in number of cases. FY 2000 - (a) Members of task force trained in team techniques and (b) Supplementary law reform drafted. FY 2001 - (a) Anti-corruption task force members trained and prosecuting cases in Guayaquil and Quito and (b) creation of a new task force. FY 2002 - Creation of a third task force.	2000	See indicator description	
	2001	20% increase in corruption cases brought to trial over baseline	
	2002	150% increase over baseline	
	2003 (T)	300% increase over baseline	
Annually (SOTL)			
Comments: (i) In FY 1999 task force was trained in specific crime areas enabling them to prosecute cases ahead of schedule, that is in early FY 2000. (ii) Baseline will be established in FY 2001. It is only in FY 2001 that the SO will measure an increase of 20% over the baseline, thus baseline is not required at this stage to measure Program's results.			

Performance Data Table

Objective Name : More effective and fair criminal justice system.			
Objective ID: 518-012-01			
Approved: 04/01/99		Country/Organization: USAID/Ecuador	
Result Name: IR 3.3 - Strengthened constituencies and coalitions among public and private institutions participating in priority reforms			
Indicator: Fund established to support justice sector CSOs activities			
Unit of Measure: Planned actions completed/Fund established	Year	Planned	Actual
	1999 (B)	Fund designed	Met*
Source: Fundación Esquel	2000	Pilot fund established	
Indicator/Description: This is a process indicator which will be achieved by accomplishing the specific steps as outlined. "Designed" will be indicated by the existence of a planning document. "Established" will be indicated by the existence of the necessary legal documentation. The existence of other funding sources will be indicated by a review of financial records.	2001	Fund fully operative	
	2002	Fund increased with other sources	
	2003 (T)	Fund consolidated by multi-sources funds	
Annually (SOTL)			
Comments: * Fund was also established, accomplishing target for FY 2000.			

Performance Data Table

Objective Name : More effective and fair criminal justice system.			
Objective ID: 518-012-01			
Approved: 04/01/99		Country/Organization: USAID/Ecuador	
Result Name: IR 3.3 - Strengthened constituencies and coalitions among public and private institutions participating in priority reforms			
Indicator: - Sustainability programs implemented in 3 major justice sector NGOs.			
Unit of Measure: Planned actions completed (CUMULATIVE)	Year	Planned	Actual
	1999 (B)	Programs designed	Met
Source: Fundación Esquel			
Indicator/Description: The target will be achieved through accomplishment of the outlined steps. The program will be considered fully operative when the core program has completed a full cycle.	2000	First phase of program completed	
	2001 (T)	Programs fully operative	
Timing - Annually (SOTL)			
Comments: NGOs have designed strong programs to achieve self-sustainability.			

R4 Part III: Resource Request

USAID/Ecuador is moving toward “small mission” status. A reduction to 57 of the total staffing level was achieved in FY 1999. At the end of FY 2000 the total number of staff will be 32. During FY 2001, this number will reach the target of 24. This adjustment is reflected in our OE budget levels which have been drastically reduced from \$2.3 million in FY 1999 to \$1.6 million in FY 2000, \$1.3 million in FY 2001 and \$1.1 million in FY 2002.

The decrease in the OE and staffing levels is consistent with the transfer of EXO and O/CONT services to Lima, and the phasing-out of the Microenterprise Development and the Pollution Prevention SOs in FY 2000, and the Health and Family Planning SO in FY 2001. However, program funding for the Mission will increase from \$17 million in FY 1999 to \$21.8 million in FY 2000, and to \$19 million a year in FY 2001 and in FY 2002. This increase is principally due to the ESF funds that will support the second phase of the Border Integration activities and the Democracy SO.

A. Program Resource Levels

1. Financial Plan

Figures proposed by LAC/DPB for FY 2000, FY 2001 and FY 2002 are considered acceptable to assure reasonable pipeline levels at the end of each year. However, it is USAID/Ecuador’s concern that while the DA levels are decreasing, ESF levels are increasing considerably starting in FY 2001, turning the Mission into an ESF-dependent program. Mission’s experience is that ESF funds are not always available or available on time, which could affect planned activities under the Democracy and Border SOs.

Budget Request tables present the funding levels assigned to USAID/Ecuador’s SOs for FY 2000, FY 2001 and FY 2002.

FY 2000: A Congressional hold placed in December 1999, on all funds for Ecuador could have a serious impact on USAID/Ecuador’s FY 2000 program. Activities to consolidate the sustainability fund for family planning NGOs could be delayed. A reassignment of the health (\$550,000 CS) activities into field support projects will be necessary to be able to utilize the funds before the end of FY 2000.

The levels assigned for FY 2000 for the Democracy and Environment SOs will not allow USAID/Ecuador to comply with USAID guidelines regarding forward funding and pipelines to cover 12 to 24 months of planned expenditures. For example, LAC/DPB FY 2000 (\$3.5 million DA) figures for the Environment are sufficient to cover planned SO activities and the \$500,000 McConnell Congressional Earmark for development activities that support conservation efforts in the Galapagos Islands. However, this funding level will only leave a 6-month pipeline at the end of FY 2000. In addition, the proposed funding for Democracy (\$1.45 million DA and \$1.5 million ESF) will allow continued support for the NGO/Public Sector Strategic Alliance Fund, and the planned anti-corruption and financial transparency activities. Even though, the FY 1999

pipeline appears to be high, several projects in the Fund will be implemented in FY 2000. Other activities that include the contracting of a resident ICITAP expert, the increase of the Fund, and the completion of the financial transparency activities will result in a high level of expenditures during FY 2000, leaving a nine-month pipeline at the end of the year.

During FY 2000, USAID/Ecuador will receive \$5 million ESF for the second phase of the Border Integration activities. As the design document was completed in February 2000, these funds will be expended in FY 2001, leaving a twelve-month pipeline at the end of FY 2000. It is expected that activities for the first phase will be implemented during FY 2000 and FY 1999 funds completely expended.

Finally, it is anticipated that \$3 million Plan Colombia will be allocated to USAID/Ecuador in FY 2000 to develop activities on the northern Ecuador border. These funds will be assigned to improve the quality of life of the communities on the border to establish legitimate alternatives to illicit drug production/trafficking and guerrilla intrusions. They will be entirely expended through FY 2002.

FY 2001: The LAC/DPB proposed funding levels would permit the Mission to comply with ADS Section 602 regarding forward funding guidelines. Pipelines for the Environment, Democracy and Border Integration SOs at the end of FY 2001 will cover a minimum of 12 months of planned expenditures.

FY 2001 funds assigned for Environment (\$ 6.1 million DA) will allow a pipeline of 14 months to continue on-going activities. A new strategy for this SO will have to be defined for the future years, as previous plans to close out USAID/Ecuador at the end of FY 2003 were revised.

The constitutional crisis of January 2000 highlighted the weakness of Ecuador's democracy. The proposed control levels for this SO in FY 2001, (\$2 million DA and \$6 million ESF) are appropriate to develop a program to support democratic stability. The DA resources will fund the Strategic Alliance Fund in justice sector reform activities. The ESF control level will continue planned anti-corruption activities with ICITAP/OPDAT, the strengthening of the Fund and the completion of a National Training Program for judges for the implementation of the new Criminal Procedures Code. It is expected that this Fund and the anticorruption activities will be fully operational during FY 2001 so that, at the end of this year, there will be twelve-month pipeline. In addition, a significant part of the ESF funds may be used to address key constraints threatening the future of democracy in Ecuador. These could include decentralization of government service delivery, local government strengthening and poverty alleviation programs. These new activities would serve to restore confidence in the democratic system and the functions of governments in the context of the IMF stabilization program.

During FY 2001, USAID/Ecuador will receive an additional \$5 million ESF for the Border Integration program.

FY 2002: The level of funds allocated for the Environment SO (\$5.5 million DA) are considered reasonable to complete the on-going activities and initiate the new strategy for this key sector in Ecuador.

In Democracy, the DA funds assigned (\$2.5 million) will permit the consolidation of the Strategic Alliance Fund; while ESF funds (\$6 million) will continue being appointed to activities to assure a stable democracy, focusing on judicial transparency, anticorruption and decentralization.

Finally, \$5 million ESF will be assigned to continue the Border Integration program.

2. Linkage with Centrally Funded Mechanisms

As it is indicated in the Field Support Table, Mission anticipates the support from the Global Bureau through project ENV-IR.1.1 Partnership for Biodiversity, during FY 2001 and FY 2002. This project will provide technical assistance to USAID/Ecuador to help the Mission achieve SO 1 targets.

B. Workforce and OE Levels

Overview of FY 2000

The OE level continues to decrease as a result of the downsizing process. The estimated OE requirements for FY 2000 are \$1.6 million, which is \$700,000 less than last year's level. This decrease is also partially due to the drastic devaluation of the sucre in the first four months of FY 2000. The Mission expects to operate with \$1.3 million and \$1.1 million for FY 2001 and FY 2002, respectively. As indicated, the reduction in OE levels is consistent with the downsizing process and to achieve the goal of "small mission" status. Mission total staffing (OE and program funded) will be reduced by 25 employees during FY 2000 from 57 employees to 32. In FY 2001, there will be an additional reduction of 8 employees to reach 24 employees by the end of FY 2001. Staffing is expected to remain at 24 in the out years.

The following table summarizes all the object class codes (OCC) in four cost categories and it clearly reflects the downsizing process.

USAID/Ecuador					
SUMMARIZED BUDGET					
(in millions of dollars)					
CATEGORY	FY2000	% Increase/ Decrease	FY2001	% Increase/ Decrease	FY2002
Salary and Benefits	872	-21%	693	-10%	623
Travel and Transportation	159	-7%	148	-42%	86
Administration Costs (Rent, Communications, Utilities, Supplies, etc)	534	-17%	444	-13%	386
Purchase of NXP	35	-57%	15	-67%	5
TOTAL	1,600	-19%	1,300	-15%	1,100

Two events related with the exchange rate have had and will have a major impact on the OE levels for FY 2000 and the coming years. First, the severe depreciation of the local currency in the first four months of FY 2000 had a very negative impact on the economy and provoked an increase in prices that appeared to be leading to hyperinflation. Secondly, Government of Ecuador elected to dollarize the economy as a desperate measure to stabilize the economy.

The effects of the depreciation can be seen in the dramatic increase in the prices of all goods and services, while at the same time a loss of value in salaries and benefits for the FSN employees, which are denominated in sucres. The Post has just completed the spot check survey of salary. As a result of this survey, a one time special increase of the FSN compensation will take place. The net effect is that, even though prices and salaries in sucres have gone up tremendously, the depreciation is so large that the Mission's OE is less in terms of dollars than what was planned last year for FY 2000.

The announcement to dollarize the economy has stabilized the highly volatile exchange rate, but at the same time implies several adjustments that will initially cause an increase in prices until they reach international levels. This process has already begun and will have real implications in the OE budget, since exchange rate gains are no longer a source of funding. Utilities, gasoline, domestic gas, salaries and other costs for consumer items are expected to increase in the last three-quarters of FY 2000.

With the reduction of staff the Mission will reorganize and consolidate SOs and support offices on two floors, which will lead to a savings of OE on rental space, phone costs and utilities. The OE for FY 2001 will better reflect the effects of staff reduction and consolidation.

The Mission will also continue to seek ways to reduce OE expenditures. For example, the scanning and electronic filing of documents has been implemented in the Communications and Records Office (C&R). C&R will also develop a plan to reduce, among other things, the costs of photocopying and faxes.

For FY 2000 two unplanned expenses are expected: a new NT server, together with the necessary software, and the costs of renovation and moving Mission offices, plus the Public Access Control (PAC) construction.

Overview of FY 2001

In FY 2001, Ecuador will move to "small mission" status with an OE budget of \$1.3 million that reflects funding for necessary expenses and Mission operations. With a USDH staff of 3 and a FSN staff of 21 by the end of FY 2001, additional training for FSN staff that will assume management and supervisory responsibilities will be required. We do not anticipate procurement of any major NXP.

Overview of FY 2002

In FY 2002 the number of positions will remain the same, 3 USDH and 21 FSN. The budget for this year will be \$1.1 million. It reflects funding for Mission operations and necessary expenses.

Exchange rate

The decision to dollarize the economy has fixed the exchange rate at 25,000 sucres per dollar. This requires several complementary actions that include legislative reforms that are a requisite to implement the process. If these reforms are implemented properly and in a timely manner, dollarization may occur with the rate of exchange fixed. On the other hand, if the process fails, it is difficult to imagine or predict what the exchange rate will be for the following years. For the purpose of budgeting we have used the official exchange rate of 25,000 sucres per dollar.

Accessing Global Bureau Services Through Field Support and Buy-Ins

Objective Name	Field Support and Buy-Ins: Activity Title & Number	Priority *	Duration	Estimated Funding (\$000)			
				FY 2001		FY 2002	
				Obligated by:		Obligated by:	
				Operating Unit	Global Bureau	Operating Unit	Global Bureau
SO 1: Biodiversity Conservation	ENV-IR.1.1 Partnership for Biodiversity	High	FY 2008		150		150
GRAND TOTAL.....				0	150	0	150

Program, Workforce and OE Tables

FY 2000 Budget Request by Program/Country

Fiscal Year: 2000 Program/Country: Ecuador
 Approp: DA/CSD

S.O. #, Title		FY 2000 Request												Est. S.O. Expenditures	Est. S.O. Pipeline End of FY2000
	Bilateral/Field Spt	Total	Agri-culture	Other Economic Growth	Children's Basic Education (*)	Other HCD	Population	Child Survival (*)	Infectious Diseases (*)	HIV/AIDS (*)	Health Promotion (**)	Environ	D/G		
SO 1: Biodiversity Conservation															
	Bilateral	3,400						0				3,400		3,532	2,055
	Field Spt	100										100		90	50
		3,500	0	0	0	0	0	0	0	0	0	3,500	0	3,622	2,105
SO 2: Family Planning and Health															
	Bilateral	6,110					5,810	300						6,643	3,073
	Field Spt	1,240					990	250						2,061	979
		7,350	0	0	0	0	6,800	550	0	0	0	0	0	8,704	4,052
SO 4: Microenterprise Development															
	Bilateral	0												1,741	0
	Field Spt	0													
		0	0	0	0	0	0	0	0	0	0	0	0	1,741	0
SO 5: Pollution Prevention															
	Bilateral	0												250	0
	Field Spt	0													
		0	0	0	0	0	0	0	0	0	0	0	0	250	0
SO 12: Criminal Justice															
	Bilateral	1,450											1,450	1,712	775
	Field Spt	0													
		1,450	0	0	0	0	0	0	0	0	0	0	1,450	1,712	775
Total Bilateral		10,960	0	0	0	0	5,810	300	0	0	0	3,400	1,450	13,878	5,903
Total Field Support		1,340	0	0	0	0	990	250	0	0	0	100	0	2,151	1,029
TOTAL PROGRAM		12,300	0	0	0	0	6,800	550	0	0	0	3,500	1,450	16,029	6,932

FY 2000 Request Agency Goal Totals	
Econ Growth	0
Democracy	1,450
HCD	0
PHN	7,350
Environment	3,500
Program ICASS	0
GCC (from all Goals)	0

FY 2000 Account Distribution (DA only)	
Dev. Assist Program	11,741
Dev. Assist ICASS	9
Dev. Assist Total:	11,750
CSD Program	550
CSD ICASS	
CSD Total:	550

FY 2000 Budget Request by Program/Country

Fiscal Year: 2000 Program/Country: Ecuador
 Approp: ESF

S.O. # , Title		FY 2000 Request												Est. S.O. Expenditures	Est. S.O. Pipeline End of FY2000
	Bilateral/Field Spt	Total	Agri-culture	Other Economic Growth	Children's Basic Education (*)	Other HCD	Population	Child Survival (*)	Infectious Diseases (*)	HIV/AIDS (*)	Health Promotion (**)	Environ	D/G		
SO 11: Border Integration															
	Bilateral	5,000		1,240				1,840				1,390	530	1,500	5,000
	Field Spt	0													
		5,000	0	1,240	0	0	0	1,840	0	0	0	1,390	530	1,500	5,000
SO 12: Criminal Justice															
	Bilateral	1,500											1,500	2,171	1,150
	Field Spt	0													
		1,500	0	0	0	0	0	0	0	0	0	0	1,500	2,171	1,150
Total Bilateral		6,500	0	1,240	0	0	0	1,840	0	0	0	1,390	2,030	3,671	6,150
Total Field Support		0	0	0	0	0	0	0	0	0	0	0	0	0	0
TOTAL PROGRAM		6,500	0	1,240	0	0	0	1,840	0	0	0	1,390	2,030	3,671	6,150

FY 2000 Request Agency Goal Totals	
Econ Growth	1,240
Democracy	2,030
HCD	0
PHN	1,840
Environment	1,390
Program ICASS	0
GCC (from all Goals)	0

FY 2000 Budget Request by Program/Country

Fiscal Year: 2000 Program/Country: Ecuador
 Approp: PC - Plan Colombia

S.O. # , Title		FY 2000 Request												Est. S.O. Expenditures	Est. S.O. Pipeline End of FY2000
	Bilateral/Field Spt	Total	Agri-culture	Other Economic Growth	Children's Basic Education (*)	Other HCD	Population	Child Survival (*)	Infectious Diseases (*)	HIV/AIDS (*)	Health Promotion (**)	Environ	D/G		
SO 12: Northern Ecuador Border Development															
	Bilateral	3,000											3,000	0	3,000
	Field Spt	0													
		3,000	0	0	0	0	0	0	0	0	0	0	3,000	0	3,000
Total Bilateral		3,000	0	0	0	0	0	0	0	0	0	0	3,000	0	3,000
Total Field Support		0	0	0	0	0	0	0	0	0	0	0	0	0	0
TOTAL PROGRAM		3,000	0	0	0	0	0	0	0	0	0	0	3,000	0	3,000

FY 2000 Request Agency Goal Totals	
Econ Growth	0
Democracy	3,000
HCD	0
PHN	0
Environment	0
Program ICASS	0
GCC (from all Goals)	0

FY 2001 Budget Request by Program/Country

Fiscal Year: 2001 Program/Country: Ecuador
 Approp: DA

S.O. #, Title		FY 2001 Request												Est. S.O. Expenditures	Est. S.O. Pipeline End of FY2001
	Bilateral/Field Spt	Total	Agri-culture	Other Economic Growth	Children's Basic Education (*)	Other HCD	Population	Child Survival (*)	Infectious Diseases (*)	HIV/AIDS (*)	Health Promotion (**)	Environ	D/G		
SO 1: Biodiversity Conservation															
	Bilateral	5,946						0				5,946		3,780	4,221
	Field Spt	150										150		120	80
		6,096	0	0	0	0	0	0	0	0	0	6,096	0	3,900	4,301
SO 2: Family Planning and Health															
	Bilateral	0												3,073	0
	Field Spt	0												979	0
		0	0	0	0	0	0	0	0	0	0	0	0	4,052	0
SO 12: Criminal Justice															
	Bilateral	2,000											2,000	1,515	1,260
	Field Spt	0													
		2,000	0	0	0	0	0	0	0	0	0	0	2,000	1,515	1,260
Total Bilateral		7,946	0	0	0	0	0	0	0	0	0	5,946	2,000	8,368	5,481
Total Field Support		150	0	0	0	0	0	0	0	0	0	150	0	1,099	80
TOTAL PROGRAM		8,096	0	0	0	0	0	0	0	0	0	6,096	2,000	9,467	5,561

FY 2001 Request Agency Goal Totals	
Econ Growth	0
Democracy	2,000
HCD	0
PHN	0
Environment	6,096
Program ICASS	0
GCC (from all Goals)	0

FY 2001 Account Distribution (DA only)	
Dev. Assist Program	8,089
Dev. Assist ICASS	7
Dev. Assist Total:	8,096
CSD Program	0
CSD ICASS	
CSD Total:	0

FY 2001 Budget Request by Program/Country

Fiscal Year: 2001 Program/Country: Ecuador
 Approp: ESF

S.O. # , Title		FY 2001 Request												Est. S.O. Expenditures	Est. S.O. Pipeline End of FY2001
	Bilateral/Field Spt	Total	Agri-culture	Other Economic Growth	Children's Basic Education (*)	Other HCD	Population	Child Survival (*)	Infectious Diseases (*)	HIV/AIDS (*)	Health Promotion (**)	Environ	D/G		
SO 11: Border Integration															
	Bilateral	5,000		1,240				1,840				1,390	530	4,280	5,720
	Field Spt	0													
		5,000	0	1,240	0	0	0	1,840	0	0	0	1,390	530	4,280	5,720
SO 12: Criminal Justice															
	Bilateral	6,000											6,000	2,050	5,100
	Field Spt	0													
		6,000	0	0	0	0	0	0	0	0	0	0	6,000	2,050	5,100
Total Bilateral		11,000	0	1,240	0	0	0	1,840	0	0	0	1,390	6,530	6,330	10,820
Total Field Support		0	0	0	0	0	0	0	0	0	0	0	0	0	0
TOTAL PROGRAM		11,000	0	1,240	0	0	0	1,840	0	0	0	1,390	6,530	6,330	10,820

FY 2001 Request Agency Goal Totals	
Econ Growth	1,240
Democracy	6,530
HCD	0
PHN	1,840
Environment	1,390
Program ICASS	0
GCC (from all Goals)	0

FY 2001 Budget Request by Program/Country

Fiscal Year: 2001 Program/Country: Ecuador
 Approp: PC - Plan Colombia

S.O. # , Title		FY 2001 Request												Est. S.O. Expenditures	Est. S.O. Pipeline End of FY2001
	Bilateral/Field Spt	Total	Agri-culture	Other Economic Growth	Children's Basic Education (*)	Other HCD	Population	Child Survival (*)	Infectious Diseases (*)	HIV/AIDS (*)	Health Promotion (**)	Environ	D/G		
SO 12: Northern Ecuador Border Development															
	Bilateral	0												1,500	1,500
	Field Spt	0													
		0	0	0	0	0	0	0	0	0	0	0	0	1,500	1,500
Total Bilateral		0	0	0	0	0	0	0	0	0	0	0	0	1,500	1,500
Total Field Support		0	0	0	0	0	0	0	0	0	0	0	0	0	0
TOTAL PROGRAM		0	0	0	0	0	0	0	0	0	0	0	0	1,500	1,500

FY 2001 Request Agency Goal Totals	
Econ Growth	0
Democracy	0
HCD	0
PHN	0
Environment	0
Program ICASS	0
GCC (from all Goals)	0

FY 2002 Budget Request by Program/Country

Fiscal Year: 2002 Program/Country: Ecuador
 Approp: DA

S.O. # , Title		FY 2002 Request													Est. S.O. Expenditures	Est. S.O. Pipeline End of FY2002
	Bilateral/Field Spt	Total	Agri-culture	Other Economic Growth	Children's Basic Education (*)	Other HCD	Population	Child Survival (*)	Infectious Diseases (*)	HIV/AIDS (*)	Health Promotion (**)	Environ	D/G			
SO 1: Biodiversity Conservation																
	Bilateral	5,350						0				5,350		4,271	3,134	
	Field Spt	150										150		150	50	
		5,500	0	0	0	0	0	0	0	0	0	5,500	0	4,421	3,184	
SO 12: Criminal Justice																
	Bilateral	2,500											2,500	1,915	1,845	
	Field Spt	0														
		2,500	0	0	0	0	0	0	0	0	0	0	2,500	1,915	1,845	
Total Bilateral		7,850	0	0	0	0	0	0	0	0	0	5,350	2,500	6,186	4,979	
Total Field Support		150	0	0	0	0	0	0	0	0	0	150	0	150	50	
TOTAL PROGRAM		8,000	0	0	0	0	0	0	0	0	0	5,500	2,500	6,336	5,029	

FY 2002 Request Agency Goal Totals	
Econ Growth	0
Democracy	2,500
HCD	0
PHN	0
Environment	5,500
Program ICASS	0
GCC (from all Goals)	0

FY 2002 Account Distribution (DA only)	
Dev. Assist Program	7,994
Dev. Assist ICASS	6
Dev. Assist Total:	8,000
CSD Program	0
CSD ICASS	0
CSD Total:	0

FY 2002 Budget Request by Program/Country

Fiscal Year: 2002 Program/Country: Ecuador
 Approp: ESF

S.O. # , Title		FY 2002 Request													Est. S.O. Pipeline End of FY2002
	Bilateral/Field Spt	Total	Agri-culture	Other Economic Growth	Children's Basic Education (*)	Other HCD	Population	Child Survival (*)	Infectious Diseases (*)	HIV/AIDS (*)	Health Promotion (**)	Environ	D/G	Est. S.O. Expenditures	
SO 11: Border Integration															
	Bilateral	5,000		1,240				1,840				1,390	530	4,120	6,600
	Field Spt	0													
		5,000	0	1,240	0	0	0	1,840	0	0	0	1,390	530	4,120	6,600
SO 12: Criminal Justice															
	Bilateral	6,000											6,000	4,300	6,800
	Field Spt	0													
		6,000	0	0	0	0	0	0	0	0	0	0	6,000	4,300	6,800
Total Bilateral		11,000	0	1,240	0	0	0	1,840	0	0	0	1,390	6,530	8,420	13,400
Total Field Support		0	0	0	0	0	0	0	0	0	0	0	0	0	0
TOTAL PROGRAM		11,000	0	1,240	0	0	0	1,840	0	0	0	1,390	6,530	8,420	13,400

FY 2002 Request Agency Goal Totals	
Econ Growth	1,240
Democracy	6,530
HCD	0
PHN	1,840
Environment	1,390
Program ICASS	0
GCC (from all Goals)	0

FY 2002 Budget Request by Program/Country

Fiscal Year: 2002 Program/Country: Ecuador
 Approp: PC - Plan Colombia

S.O. # , Title		FY 2002 Request												Est. S.O. Expenditures	Est. S.O. Pipeline End of FY2002
	Bilateral/Field Spt	Total	Agri-culture	Other Economic Growth	Children's Basic Education (*)	Other HCD	Population	Child Survival (*)	Infectious Diseases (*)	HIV/AIDS (*)	Health Promotion (**)	Environ	D/G		
SO 12: Northern Ecuador Border Development															
	Bilateral	0												1,500	0
	Field Spt	0												0	0
		0	0	0	0	0	0	0	0	0	0	0	0	1,500	0
Total Bilateral		0	0	0	0	0	0	0	0	0	0	0	0	1,500	0
Total Field Support		0	0	0	0	0	0	0	0	0	0	0	0	0	0
TOTAL PROGRAM		0	0	0	0	0	0	0	0	0	0	0	0	1,500	0

FY 2002 Request Agency Goal Totals	
Econ Growth	0
Democracy	0
HCD	0
PHN	0
Environment	0
Program ICASS	0
GCC (from all Goals)	0

Workforce Tables

Org :USAID/Ecuador End of year On-Board								Total SO/SpO	Org. Mgmt.	Fin. Mgmt	Admin. Mgmt	Con- tract	Legal	All Other	Total Mgmt.	Total Staff
FY 2000 Estimate	SO 1	SO 2	SO 4	SO 5	SO 11	SO 12										
OE Funded: 1/																
U.S. Direct Hire	1	1	0	0	0	0		2	1	0	0	0	0	0	1	3
Other U.S. Citizens	0	0	0	0	0	0		0	0	0	0	0	0	0	0	0
FSN/TCN Direct Hire	0	0	0	0	0	0		0	0	0	0	0	0	0	0	0
Other FSN/TCN	0.5	0	0	0	0.5	0.5		1.5	0	3	16.5	0	0	0	19.5	21
Subtotal	1.5	1	0	0	0.5	0.5	0	3.5	1	3	16.5	0	0	0	20.5	24
Program Funded 1/																
U.S. Citizens	0	0	0	0	0	0		0	0	0	0	0	0	0	0	0
FSNs/TCNs	2.5	1	0	0	2	2		7.5	0	0	0.5	0	0	0	0.5	8
Subtotal	2.5	1	0	0	2	2		7.5	0	0	0.5	0	0	0	0.5	8
Total Direct Workforce	4	2	0	0	2.5	2.5	0	11	1	3	17	0	0	0	21	32
TAACS	0	0	0	0	0	0		0	0	0	0	0	0	0	0	0
Fellows	0	0	0	0	0	0		0	0	0	0	0	0	0	0	0
IDIs	0	0	0	0	0	0		0	0	0	0	0	0	0	0	0
Subtotal	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
TOTAL WORKFORCE	4	2	0	0	2.5	2.5	0	11	1	3	17	0	0	0	21	32

Workforce Tables

Org:USAID/Ecuador								Total	Org. Fin. Admin. Con- All						Total	Total
FY 2001 Target	SO 1	SO 2	SO 11	SO 12				SO/SpO	Mgmt.	Mgmt	Mgmt	tract	Legal	Other	Mgmt.	Staff
OE Funded: 1/																
U.S. Direct Hire	1	1	0	0				2	1	0	0	0	0	0	1	3
Other U.S. Citizens	0	0	0	0				0	0	0	0	0	0	0	0	0
FSN/TCN Direct Hire	0	0	0	0				0	0	0	0	0	0	0	0	0
Other FSN/TCN	0.5	0	0.5	0.5				1.5	0.5	3	8	0	0	0	11.5	13
Subtotal	1.5	1	0.5	0.5	0	0	0	3.5	1.5	3	8	0	0	0	12.5	16
Program Funded 1/																
U.S. Citizens	0	0	0	0				0	0	0	0	0	0	0	0	0
FSNs/TCNs	2.5	0	3	2				7.5	0	0	0.5	0	0	0	0.5	8
Subtotal	2.5	0	3	2				7.5	0	0	0.5	0	0	0	0.5	8
Total Direct Workforce	4	1	3.5	2.5	0	0	0	11	1.5	3	8.5	0	0	0	13	24
TAACS	0	0	0	0				0	0	0	0	0	0	0	0	0
Fellows	0	0	0	0				0	0	0	0	0	0	0	0	0
IDIs	0	0	0	0				0	0	0	0	0	0	0	0	0
Subtotal	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
TOTAL WORKFORCE	4	1	3.5	2.5	0	0	0	11	1.5	3	8.5	0	0	0	13	24

Workforce Tables

Org:USAID/Ecuador End of year On-Board								Total SO/SpO Staff	Org. Mgmt.	Fin. Mgmt	Admin. Mgmt	Con- tract	Legal	All Other	Total Mgmt.	Total Staff
FY 2002 Target	SO 1	SO 2	SO 11	SO 12												
OE Funded: 1/ U.S. Direct Hire	1	1	0	0				2	1	0	0	0	0	0	1	3
Other U.S. Citizens	0	0	0	0				0	0	0	0	0	0	0	0	0
FSN/TCN Direct Hire	0	0	0	0				0	0	0	0	0	0	0	0	0
Other FSN/TCN	0.5	0	0.5	0.5				1.5	0.5	3	8	0	0	0	11.5	13
Subtotal	1.5	1	0.5	0.5	0	0	0	3.5	1.5	3	8	0	0	0	12.5	16
Program Funded 1/ U.S. Citizens	0	0	0	0				0	0	0	0	0	0	0	0	0
FSNs/TCNs	2.5	0	3	2				7.5	0	0	0.5	0	0	0	0.5	8
Subtotal	2.5	0	3	2				7.5	0	0	0.5	0	0	0	0.5	8
Total Direct Workforce	4	1	3.5	2.5	0	0	0	11	1.5	3	8.5	0	0	0	13	24
TAACS	0	0	0	0				0	0	0	0	0	0	0	0	0
Fellows	0	0	0	0				0	0	0	0	0	0	0	0	0
IDIs	0	0	0	0				0	0	0	0	0	0	0	0	0
Subtotal	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
TOTAL WORKFORCE	4	1	3.5	2.5	0	0	0	11	1.5	3	8.5	0	0	0	13	24

Mission:	USAID/Ecuador
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USDH Staffing Requirements by Backstop, FY 2000 - FY 2003

Functional Backstop (BS)	Number of USDH Employees in Backstop in:			
	FY 2000	FY 2001	FY 2002	FY 2003
Senior Management				
SMG - 01	1	1	1	1
Program Management				
Program Mgt - 02	0	0	0	0
Project Dvpm Officer - 94	1	1	1	1
Support Management				
EXO - 03	0	0	0	0
Controller - 04	0	0	0	0
Legal - 85	0	0	0	0
Commodity Mgt. - 92	0	0	0	0
Contract Mgt. - 93	0	0	0	0
Secretary - 05 & 07	0	0	0	0
Sector Management				
Agriculture - 10 & 14	0	0	0	0
Economics - 11	0	0	0	0
Democracy - 12	0	0	0	0
Food for Peace - 15	0	0	0	0
Private Enterprise - 21	0	0	0	0
Engineering - 25	0	0	0	0
Environment - 40 & 75	0	0	0	0
Health/Pop. - 50	0	0	0	0
Education - 60	0	0	0	0
General Dvpm. - 12*	1	1	1	1
RUDO, UE-funded - 40	0	0	0	0
Total	3	3	3	3

***GDO - 12:** for the rare case where an officer manages activities in several technical areas, none of which predominate, e.g., the officer manages Democracy, Health, and Environment activities that are about equal. An officer who manages primarily Health activities with some Democracy and Environment activities would be a Health Officer. BS 50.

OPERATING EXPENSES

Org. Title: Org. No: OC		Overseas Mission Budgets								
		FY 2000 Estimate			FY 2001 Target			FY 2002 Target		
		Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
11.1	Personnel compensation, full-time permanent	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.1	Base Pay & pymt. for annual leave balances - FNDH	41.8	0	41.8	8.5	0	8.5	0	0	0
	Subtotal OC 11.1	41.8	0	41.8	8.5	0	8.5	0	0	0
11.3	Personnel comp. - other than full-time permanent	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.3	Base Pay & pymt. for annual leave balances - FNDH	0	0	0	0	0	0	0	0	0
	Subtotal OC 11.3	0	0	0	0	0	0	0	0	0
11.5	Other personnel compensation	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.5	USDH	0	0	0	0	0	0	0	0	0
11.5	FNDH	0	0	0	0	0	0	0	0	0
	Subtotal OC 11.5	0	0	0	0	0	0	0	0	0
11.8	Special personal services payments	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.8	USPSC Salaries	0	0	0	0	0	0	0	0	0
11.8	FN PSC Salaries	583.9	0	583.9	496.5	0	496.5	460	0	460
11.8	IPA/Details-In/PASAs/RSSAs Salaries	0	0	0	0	0	0	0	0	0
	Subtotal OC 11.8	583.9	0	583.9	496.5	0	496.5	460	0	460
12.1	Personnel benefits	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1	USDH benefits	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1	Educational Allowances	20	0	20	33.8	0	33.8	35.6	0	35.6
12.1	Cost of Living Allowances	0	0	0	0	0	0	0	0	0
12.1	Home Service Transfer Allowances	0.7	0	0.7	0.7	0	0.7	0.7	0	0.7
12.1	Quarters Allowances	82.5	0	82.5	52.4	0	52.4	54.4	0	54.4
12.1	Other Misc. USDH Benefits	27	0	27	19	0	19	18	0	18
12.1	FNDH Benefits	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1	** Payments to FSN Voluntary Separation Fund - FNDH	0	0	0	0	0	0	0	0	0
12.1	Other FNDH Benefits	3.6	0	3.6	2.1	0	2.1	0	0	0
12.1	US PSC Benefits	0	0	0	0	0	0	0	0	0
12.1	FN PSC Benefits	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1	** Payments to the FSN Voluntary Separation Fund - FN PSC	12	0	12	10	0	10	8	0	8
12.1	Other FN PSC Benefits	67	0	67	49.8	0	49.8	46.5	0	46.5
12.1	IPA/Detail-In/PASA/RSSA Benefits	0	0	0	0	0	0	0	0	0
	Subtotal OC 12.1	212.8	0	212.8	167.8	0	167.8	163.2	0	163.2
13.0	Benefits for former personnel	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		

OPERATING EXPENSES

Org. Title: USAID/ECUADOR		Overseas Mission Budgets								
Org. No: 518		FY 2000 Estimate			FY 2001 Target			FY 2002 Target		
OC		Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
13.0	FNDH	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
13.0	Severance Payments for FNDH	0	0	0	0	0	0	0	0	0
13.0	Other Benefits for Former Personnel - FNDH	0	0	0	0	0	0	0	0	0
13.0	FN PSCs	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
13.0	Severance Payments for FN PSCs	33.4	0	33.4	20	0	20	0	0	0
13.0	Other Benefits for Former Personnel - FN PSCs	0	0	0	0	0	0	0	0	0
Subtotal OC 13.0		33.4	0	33.4	20	0	20	0	0	0
21.0	Travel and transportation of persons	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
21.0	Training Travel	16.7	0	16.7	12	0	12	10	0	10
21.0	Mandatory/Statutory Travel	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
21.0	Post Assignment Travel - to field	14.3	0	14.3	8	0	8	4	0	4
21.0	Assignment to Washington Travel	0	0	0	0	0	0	0	0	0
21.0	Home Leave Travel	8.4	0	8.4	14.6	0	14.6	5.2	0	5.2
21.0	R & R Travel	9.2	0	9.2	2.8	0	2.8	8.4	0	8.4
21.0	Education Travel	4	0	4	3.5	0	3.5	4.4	0	4.4
21.0	Evacuation Travel	4	0	4	4	0	4	4	0	4
21.0	Retirement Travel	2	0	2	2	0	2	0	0	0
21.0	Pre-Employment Invitational Travel	0	0	0	0	0	0	0	0	0
21.0	Other Mandatory/Statutory Travel	0	0	0	0	0	0	0	0	0
21.0	Operational Travel	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
21.0	Site Visits - Headquarters Personnel	3.1	0	3.1	3.1	0	3.1	3.1	0	3.1
21.0	Site Visits - Mission Personnel	28.9	0	28.9	25	0	25	20	0	20
21.0	Conferences/Seminars/Meetings/Retreats	4.5	0	4.5	4	0	4	3	0	3
21.0	Assessment Travel	0	0	0	0	0	0	0	0	0
21.0	Impact Evaluation Travel	0	0	0	0	0	0	0	0	0
21.0	Disaster Travel (to respond to specific disasters)	0	0	0	0	0	0	0	0	0
21.0	Recruitment Travel	0	0	0	0	0	0	0	0	0
21.0	Other Operational Travel	4	0	4	4	0	4	3	0	3
Subtotal OC 21.0		99.1	0	99.1	83	0	83	65.1	0	65.1
22.0	Transportation of things	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
22.0	Post assignment freight	37.3	0	37.3	36	0	36	18	0	18
22.0	Home Leave Freight	4.6	0	4.6	9	0	9	3	0	3
22.0	Retirement Freight	18	0	18	18	0	18	0	0	0
22.0	Transportation/Freight for Office Furniture/Equip.	0	0	0	0	0	0	0	0	0
22.0	Transportation/Freight for Res. Furniture/Equip.	0	0	0	2	0	2	0	0	0
Subtotal OC 22.0		59.9	0	59.9	65	0	65	21	0	21

OPERATING EXPENSES

Org. Title: Org. No: OC		Overseas Mission Budgets								
		FY 2000 Estimate			FY 2001 Target			FY 2002 Target		
		Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
25.2	Recruiting activities	0	0	0	0	0	0	0	0	0
25.2	Penalty Interest Payments	0	0	0	0	0	0	0	0	0
25.2	Other Miscellaneous Services	50	0	50	50	0	50	40	0	40
25.2	Staff training contracts	5	0	5	5	0	5	3	0	3
25.2	ADP related contracts	0	0	0	0	0	0	0	0	0
	Subtotal OC 25.2	111.4	0	111.4	131.4	0	131.4	121.4	0	121.4
25.3	Purchase of goods and services from Government accounts	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.3	ICASS	93	0	93	75	0	75	70	0	70
25.3	All Other Services from Other Gov't. accounts	0	0	0	0	0	0	0	0	0
	Subtotal OC 25.3	93	0	93	75	0	75	70	0	70
25.4	Operation and maintenance of facilities	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.4	Office building Maintenance	15	0	15	10	0	10	3	0	3
25.4	Residential Building Maintenance	3	0	3	3	0	3	3	0	3
	Subtotal OC 25.4	18	0	18	13	0	13	6	0	6
25.6	Medical Care	0	0		0	0		0	0	
	Subtotal OC 25.6	0	0	0	0	0	0	0	0	0
25.7	Operation/maintenance of equipment & storage of goods	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.7	ADP and telephone operation and maintenance costs	5	0	5	5	0	5	4	0	4
25.7	Storage Services	0	0	0	0	0	0	0	0	0
25.7	Office Furniture/Equip. Repair and Maintenance	4	0	4	4	0	4	2	0	2
25.7	Vehicle Repair and Maintenance	5	0	5	5	0	5	3	0	3
25.7	Residential Furniture/Equip. Repair and Maintenance	3	0	3	3	0	3	2	0	2
	Subtotal OC 25.7	17	0	17	17	0	17	11	0	11
25.8	Subsistence & spt. of persons (by contract or Gov't.)	0	0	0	0	0	0	0	0	0
	Subtotal OC 25.8	0	0	0	0	0	0	0	0	0
26.0	Supplies and materials	50	0	50	40	0	40	30	0	30
	Subtotal OC 26.0	50	0	50	40	0	40	30	0	30
31.0	Equipment	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
31.0	Purchase of Residential Furniture/Equip.	0	0	0	5	0	5	0	0	0
31.0	Purchase of Office Furniture/Equip.	0	0	0	5	0	5	0	0	0

OPERATING EXPENSES

Org. Title: USAID/ECUADOR		Overseas Mission Budgets								
Org. No: 518		FY 2000 Estimate			FY 2001 Target			FY 2002 Target		
OC		Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
31.0	Purchase of Vehicles	0	0	0	0	0	0	0	0	0
31.0	Purchase of Printing/Graphics Equipment	0	0	0	0	0	0	0	0	0
31.0	ADP Hardware purchases	30	0	30	0	0	0	0	0	0
31.0	ADP Software purchases	5	0	5	5	0	5	5	0	5
Subtotal OC 31.0		35	0	35	15	0	15	5	0	5
32.0	Lands and structures	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
32.0	Purchase of Land & Buildings (& bldg. construction)	0	0	0	0	0	0	0	0	0
32.0	Purchase of fixed equipment for buildings	0	0	0	0	0	0	0	0	0
32.0	Building Renovations/Alterations - Office	0	0	0	0	0	0	0	0	0
32.0	Building Renovations/Alterations - Residential	0	0	0	0	0	0	0	0	0
Subtotal OC 32.0		0	0	0	0	0	0	0	0	0
42.0	Claims and indemnities	0	0	0	0	0	0	0	0	0
Subtotal OC 42.0		0	0	0	0	0	0	0	0	0
TOTAL BUDGET		1600	0	1600	1300.0	0	1300.0	1100.0	0	1100.0

Additional Mandatory Information

Dollars Used for Local Currency Purchases	<u>250</u>	<u>0</u>	<u>0</u>
Exchange Rate Used in Computations	<u>25000</u> _____	<u>25000</u> _____	<u>25000</u> _____

** If data is shown on either of these lines, you MUST submit the form showing deposits to and withdrawals from the FSN Voluntary Separation Fund.
On that form, OE funded deposits must equal:

12 10 8

Organization: USAID/ECUADOR

Foreign National Voluntary Separation Account									
Action	FY 2000			FY 2001			FY 2002		
	OE	Program	Total	OE	Program	Total	OE	Program	Total
Deposits	12.0	14.1	26.1	10.0	21.2	31.2	8.0	15.7	23.7
Withdrawals	73.9	7.4	81.3	25.5	9.1	34.6	0.0	0.0	0.0

Local Currency Trust Funds - Regular			
	FY 2000	FY 2001	FY 2002
Balance Start of Year	0.0	0.0	0.0
Obligations	0.0	0.0	0.0
Deposits	0.0	0.0	0.0
Balance End of Year	0.0	0.0	0.0

Exchange Rate _____

Local Currency Trust Funds - Real Property			
	FY 2000	FY 2001	FY 2002
Balance Start of Year	0.0	0.0	0.0
Obligations	0.0	0.0	0.0
Deposits	0.0	0.0	0.0
Balance End of Year	0.0	0.0	0.0

Exchange Rate _____

CONTROLLER OPERATIONS

Org. Title: USAID/ECUADOR		Overseas Mission Budgets								
Org. No: 518		FY 2000 Estimate			FY 2001 Target			FY 2002 Target		
OC		Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
11.1	Personnel compensation, full-time permanent	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.1	Base Pay & pymt. for annual leave balances - FNDH	3.6	0.0	3.6	0.0	0.0	0.0	0.0	0.0	0.0
	Subtotal OC 11.1	3.6	0.0	3.6	0.0	0.0	0.0	0.0	0.0	0.0
11.3	Personnel comp. - other than full-time permanent	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.3	Base Pay & pymt. for annual leave balances - FNDH	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
	Subtotal OC 11.3	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
11.5	Other personnel compensation	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.5	USDH	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
11.5	FNDH	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
	Subtotal OC 11.5	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
11.8	Special personal services payments	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.8	USPSC Salaries	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
11.8	FN PSC Salaries	129.8	0.0	129.8	69.9	0.0	69.9	83.2	0.0	83.2
11.8	IPA/Details-In/PASAs/RSSAs Salaries	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
	Subtotal OC 11.8	129.8	0.0	129.8	69.9	0.0	69.9	83.2	0.0	83.2
12.1	Personnel benefits	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1	USDH benefits	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1	Educational Allowances	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
12.1	Cost of Living Allowances	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
12.1	Home Service Transfer Allowances	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
12.1	Quarters Allowances	18.3	0.0	18.3	0.0	0.0	0.0	0.0	0.0	0.0
12.1	Other Misc. USDH Benefits	3.9	0.0	3.9	0.0	0.0	0.0	0.0	0.0	0.0
12.1	FNDH Benefits	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1	** Payments to FSN Voluntary Separation Fund - FNDH	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
12.1	Other FNDH Benefits	1.3	0.0	1.3	0.0	0.0	0.0	0.0	0.0	0.0
12.1	US PSC Benefits	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
12.1	FN PSC Benefits	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1	** Payments to the FSN Voluntary Separation Fund - FN PS	3.6	0.0	3.6	1.9	0.0	1.9	2.3	0.0	2.3
12.1	Other FN PSC Benefits	43.2	0.0	43.2	23.3	0.0	23.3	27.7	0.0	27.7
12.1	IPA/Detail-In/PASA/RSSA Benefits	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
	Subtotal OC 12.1	70.3	0.0	70.3	25.2	0.0	25.2	30.0	0.0	30.0

CONTROLLER OPERATIONS

Org. Title:		Overseas Mission Budgets								
Org. No:		FY 2000 Estimate			FY 2001 Target			FY 2002 Target		
OC		Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
13.0	Benefits for former personnel	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
13.0	FNDH	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
13.0	Severance Payments for FNDH	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
13.0	Other Benefits for Former Personnel - FNDH	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
13.0	FN PSCs	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
13.0	Severance Payments for FN PSCs	9.4	0.0	9.4	0.0	0.0	0.0	0.0	0.0	0.0
13.0	Other Benefits for Former Personnel - FN PSCs	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Subtotal OC 13.0		9.4	0.0	9.4	0.0	0.0	0.0	0.0	0.0	0.0
21.0	Travel and transportation of persons	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
21.0	Training Travel	3.1	0.0	3.1	3.9	0.0	3.9	3.0	0.0	3.0
21.0	Mandatory/Statutory Travel	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
21.0	Post Assignment Travel - to field	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
21.0	Assignment to Washington Travel	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
21.0	Home Leave Travel	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
21.0	R & R Travel	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
21.0	Education Travel	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
21.0	Evacuation Travel	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
21.0	Retirement Travel	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
21.0	Pre-Employment Invitational Travel	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
21.0	Other Mandatory/Statutory Travel	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
21.0	Operational Travel	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
21.0	Site Visits - Headquarters Personnel	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
21.0	Site Visits - Mission Personnel	10.0	0.0	10.0	7.0	0.0	7.0	2.0	0.0	2.0
21.0	Conferences/Seminars/Meetings/Retreats	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
21.0	Assessment Travel	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
21.0	Impact Evaluation Travel	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
21.0	Disaster Travel (to respond to specific disasters)	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
21.0	Recruitment Travel	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
21.0	Other Operational Travel	1.0	0.0	1.0	1.0	0.0	1.0	1.0	0.0	1.0
Subtotal OC 21.0		14.1	0.0	14.1	11.9	0.0	11.9	6.0	0.0	6.0
22.0	Transportation of things	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
22.0	Post assignment freight	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
22.0	Home Leave Freight	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
22.0	Retirement Freight	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
22.0	Transportation/Freight for Office Furniture/Equip.	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0

CONTROLLER OPERATIONS

Org. Title: USAID/ECUADOR		Overseas Mission Budgets								
Org. No: 518		FY 2000 Estimate			FY 2001 Target			FY 2002 Target		
OC		Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
22.0	Transportation/Freight for Res. Furniture/Equip.	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
	Subtotal OC 22.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
23.2	Rental payments to others	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
23.2	Rental Payments to Others - Office Space	23.2	0.0	23.2	7.0	0.0	7.0	8.0	0.0	8.0
23.2	Rental Payments to Others - Warehouse Space	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
23.2	Rental Payments to Others - Residences	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
	Subtotal OC 23.2	23.2	0.0	23.2	7.0	0.0	7.0	8.0	0.0	8.0
23.3	Communications, utilities, and miscellaneous charges	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
23.3	Office Utilities	2.4	0.0	2.4	2.4	0.0	2.4	2.4	0.0	2.4
23.3	Residential Utilities	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
23.3	Telephone Costs	15.9	0.0	15.9	3.9	0.0	3.9	4.5	0.0	4.5
23.3	ADP Software Leases	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
23.3	ADP Hardware Lease	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
23.3	Commercial Time Sharing	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
23.3	Postal Fees (Other than APO Mail)	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
23.3	Other Mail Service Costs	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
23.3	Courier Services	1.1	0.0	1.1	1.4	0.0	1.4	0.5	0.0	0.5
	Subtotal OC 23.3	19.5	0.0	19.5	7.7	0.0	7.7	7.4	0.0	7.4
24.0	Printing and Reproduction	0.5	0.0	0.5	0.6	0.0	0.6	0.5	0.0	0.5
	Subtotal OC 24.0	0.5	0.0	0.5	0.6	0.0	0.6	0.5	0.0	0.5
25.1	Advisory and assistance services	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.1	Studies, Analyses, & Evaluations	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
25.1	Management & Professional Support Services	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
25.1	Engineering & Technical Services	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
	Subtotal OC 25.1	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
25.2	Other services	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.2	Office Security Guards	7.7	0.0	7.7	8.0	0.0	8.0	8.5	0.0	8.5
25.2	Residential Security Guard Services	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
25.2	Official Residential Expenses	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
25.2	Representation Allowances	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
25.2	Non-Federal Audits	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0

CONTROLLER OPERATIONS

Org. Title:		Overseas Mission Budgets								
Org. No:		FY 2000 Estimate			FY 2001 Target			FY 2002 Target		
OC		Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
25.2	Grievances/Investigations	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
25.2	Insurance and Vehicle Registration Fees	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
25.2	Vehicle Rental	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
25.2	Manpower Contracts	0.1	0.0	0.1	2.0	0.0	2.0	1.4	0.0	1.4
25.2	Records Declassification & Other Records Services	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
25.2	Recruiting activities	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
25.2	Penalty Interest Payments	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
25.2	Other Miscellaneous Services	14.9	0.0	14.9	3.6	0.0	3.6	3.0	0.0	3.0
25.2	Staff training contracts	5.0	0.0	5.0	3.0	0.0	3.0	1.0	0.0	1.0
25.2	ADP related contracts	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Subtotal OC 25.2		27.8	0.0	27.8	16.6	0.0	16.6	13.9	0.0	13.9
25.3	Purchase of goods and services from Government accounts	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.3	ICASS	26.1	0.0	26.1	5.4	0.0	5.4	7.0	0.0	7.0
25.3	All Other Services from Other Gov't. accounts	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Subtotal OC 25.3		26.1	0.0	26.1	5.4	0.0	5.4	7.0	0.0	7.0
25.4	Operation and maintenance of facilities	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.4	Office building Maintenance	2.1	0.0	2.1	1.4	0.0	1.4	1.0	0.0	1.0
25.4	Residential Building Maintenance	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Subtotal OC 25.4		2.1	0.0	2.1	1.4	0.0	1.4	1.0	0.0	1.0
25.6	Medical Care	0.0	0.0		0.0	0.0		0.0	0.0	
Subtotal OC 25.6		0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
25.7	Operation/maintenance of equipment & storage of goods	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.7	ADP and telephone operation and maintenance costs	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
25.7	Storage Services	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
25.7	Office Furniture/Equip. Repair and Maintenance	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
25.7	Vehicle Repair and Maintenance	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
25.7	Residential Furniture/Equip. Repair and Maintenance	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Subtotal OC 25.7		0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
25.8	Subsistence & spt. of persons (by contract or Gov't.)	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Subtotal OC 25.8		0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0

CONTROLLER OPERATIONS

Org. Title: USAID/ECUADOR		Overseas Mission Budgets								
Org. No: 518		FY 2000 Estimate			FY 2001 Target			FY 2002 Target		
OC		Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
26.0	Supplies and materials	14.0	0.0	14.0	2.9	0.0	2.9	3.8	0.0	3.8
	Subtotal OC 26.0	14.0	0.0	14.0	2.9	0.0	2.9	3.8	0.0	3.8
31.0	Equipment	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
31.0	Purchase of Residential Furniture/Equip.	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
31.0	Purchase of Office Furniture/Equip.	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
31.0	Purchase of Vehicles	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
31.0	Purchase of Printing/Graphics Equipment	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
31.0	ADP Hardware purchases	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
31.0	ADP Software purchases	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
	Subtotal OC 31.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
32.0	Lands and structures	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
32.0	Purchase of Land & Buildings (& bldg. construction)	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
32.0	Purchase of fixed equipment for buildings	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
32.0	Building Renovations/Alterations - Office	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
32.0	Building Renovations/Alterations - Residential	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
	Subtotal OC 32.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
42.0	Claims and indemnities	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
	Subtotal OC 42.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
TOTAL BUDGET		340.4	0.0	340.4	148.5	0.0	148.5	160.8	0.0	160.8

Additional Mandatory Information

Dollars Used for Local Currency Purchases	<u>86.5</u>		<u>0.0</u>		<u>0.0</u>	
Exchange Rate Used in Computations	<u>25,000.0</u>	_____	<u>25,000.0</u>	_____	<u>25,000.0</u>	_____

** If data is shown on either of these lines, you MUST submit the form showing deposits to and withdrawals from the FSN Voluntary Separation Fund.
On that form, OE funded deposits must equal: 3.6 1.9 2.3

Supplemental Information Annexes

Environmental Impact

Information Annex Topic: Environmental Impact

MANDATORY ANNEX - ENVIRONMENTAL IMPACT

(1) NEW OR AMENDED IEEs OR EAs - During FY 2000, the Mission is in the process of approving a revised version of its Border Integration SO 11.

(2) COMPLIANCE WITH PREVIOUS IEEs OR EAs - The following table lays out the Threshold Decisions for each of the SOs/SpOs.

STATUS OF 22 CFR 216 MEASURES -- USAID/ECUADOR

	ACTIVITY DESIGN DOCUMENT	THRESHOLD DECISION	PACD
SO 1 Biodiversity Conservation	Environmental Support Program (ESP) (518-0126)	Negative, Positive, Categorical Exclusion. See (1) below	09-30-03
SO 2 FP/Health	Family Planning (518-0128)	Categorical Exclusion	09-30-01
	Child Survival & Health (518-0071)	Categorical Exclusion	09-30-00
SO 4 Microenterprise	Microenterprise Assistance and Strengthening (518-0121)	Categorical Exclusion	9-30-00
SO 5 Pollution Prevention	Environmental Education & Technology Transfer (518-0117)	Categorical Exclusion	06-30-00
SO 11 Border Integration	Peru-Ecuador Border Region Development (598-0858)	Negative Determination with Condition See (2) below	9-30-05
SO 12 Criminal Justice	Rule of Law and Democracy Support (518-0120)	Categorical Exclusion	09-30-03
Activities that Contribute Across SOs/SpOs	Special Development Activity Authority (518-0004)	No IEE prepared	N/A
	PD&S	No IEE prepared	N/A
	Food Aid Local Currency (Section 416 B, Food for Progress, PL-480 Tittle II)	No IEE prepared	N/A
	ESF Local Currency	No IEE prepared	N/A

(1) The review of Forestry Management Plans (FMPs) will be performed by the Regional Environmental Officer in March 2000.

(2) The IEE of the first phase of this activity was prepared in June 1999. The Bureau Threshold Decision was Negative Determination/Negative Determination with Condition/Categorical Exclusion. The provision of health education, dissemination of preventive health information, municipal strengthening, and potential activities to develop disease prevention and control strategies warrants Categorical Exclusion while minor health facility remodeling warrants a negative determination. LAC Bureau Environmental Officer will review and

approve environmental guidelines for construction of sewage systems and latrines, and the proper disposal of solid wastes.

Updated Framework Annex

Information Annex Topic: Updated Results Framework

MANDATORY ANNEX - UPDATED RESULTS

As required by Paragraph II.G.1 of STATE 229004, the following is a listing of current SOs/SpOs and IRs:

SO 1 - Biodiversity Conservation

Strategic Objective: Biodiversity conserved in selected protected areas and their buffer zones.

- IR 1:** Strengthened capacity of targeted NGOs and CSOs active in biodiversity conservation in selected protected areas and their buffer zones.
- IR 2:** Economically viable natural resource management (NRM) practices adopted in selected protected areas and their buffer zones.
- IR 3:** Key policies and legal frameworks introduced and/or implemented to conserve biodiversity in selected protected areas and their buffer zones.

SO 2 - Family Planning and Health

Strategic Objective: Increased Use of Sustainable Family Planning/Maternal Child Health services.

- IR 1:** Increased sustainability of FP NGO partners
- IR 2:** Improved quality and access of family planning services
- IR 3:** Improved quality and access of MCH services
- IR 4:** Increased Sustainability of Health NGOs

SO 4 - Microenterprise

Special Objective: Increased access to financial services by micro-entrepreneurs, with emphasis on women.

- IR 1:** New, licensed, for profit, financial institution serving the needs of microentrepreneurs.
- IR 2:** Upgraded microcredit delivery systems of selected financial institutions and NGOs.
- IR 3:** Strengthened institutions implementing village banking programs.

SO 5 - Pollution Prevention

Special Objective: Improved sustainable capacity of selected public and private institutions to prevent pollution.

IR 1: Expanded NGO technical assistance to local firms, universities, and municipalities on pollution prevention.

IR 2: Increased dissemination of technical information on cleaner production technologies, international trade environmental concerns, and urban environmental management.

SO 11 – Border Integration

Special Objective: Improved social and economic conditions of inhabitants along the Peru-Ecuador border thereby promoting border integration.

IR 2: Expanded income-generating opportunities for small and microentrepreneurs.

IR 3: Increased availability and access to social services, with emphasis on health, water, and sanitation.

IR 4: Improved natural resource management in selected areas along the border.

SO 12 - Criminal Justice

Strategic Objective: More effective and fair criminal justice system.

IR 1: Improved capacity of government to combat public and private corruption.

IR 2: Introduction of accusatory justice system.

IR 3: Strengthened constituencies and coalitions among public and private institutions participating in priority reforms.

Success Stories

Information annex topic: Success stories

GUAGUA PICHINCHA VOLCANO

On October 2nd, 1999 El Guagua Pichincha volcano erupted for the first time in over 200 years and covered the city of Quito with two inches of ash. The Mission Executive Officer, in his capacity as Mission Disaster Relief Officer, working with a US Geological Survey (USGS) Volcano Disaster Assistance Team coordinated the Office of Foreign Disaster Assistance (OFDA/W) response. Thanks to the prior planning and assistance from OFDA and USGS the local authorities were able to effectively deal with the ash fall. Protective masks were available and a public information campaign on health and safety during ash fall greatly reduced the panic after this eruption. Charter aircraft on contract provided several overflights of the volcano so USGS scientists could see the size, shape and dome activity.

TDY assistance of a military wind measuring team that could provide direction and altitude of winds aloft to predict ash fall and direction after an eruption was requested and coordinated by OFDA/W. The team spent 30 days in Quito working with the Ecuadorian Meteorological authorities instructing them on the use of equipment and methodology. After the October 2nd eruption the International airport was closed for two weeks due to ash on the runways and taxiways. The Mission Disaster Relief Officer (MDRO) identified an expert in ash/snow removal in Anchorage Alaska. A formal request was made to the Governor of Alaska and a TDY was approved. The ash removal expert traveled to Quito, met with airport authorities and the Mayor of Quito, provided assistance and guidance and developed action plans for ash clean up. Three days after the last eruption on November 24th the airport was open and operational.

The Mission and OFDA continue to provide assistance and guidance to local authorities and scientists monitoring the volcano.

BIODIVERSITY SO 1

COMMUNITY CHANGE IN FAVOR OF CONSERVATION

Playa de Oro is an isolated Afroecuadorian community of some 20,000 acres bordering the Cotacachi-Cayapas Ecological Reserve in northwest Ecuador. Since 1992, the people of Playa de Oro have been among the SUBIR project's closest allies in the struggle to protect the reserve from encroaching forestry, mining, and colonization interests. It has not always been easy to make the right choices, but Playa de Oro is now on the forefront of the development process in the region, and may be the first community to obtain green certification in Ecuador for its management of forest resources.

A challenge was put before the recently-elected young village council: a mining company arrived with a strong proposal to carry out its activities in the area, paying generous salaries to community members as well as concession fees. In the past, the offer would have been accepted, particularly in light of the El Niño flooding that wiped out crops and livestock in 1998-1999. With technical assistance in agroforestry, ecotourism, and community strengthening, however, the community voted unanimously in favor of conservation, and rejected the company's offer. But the success story does not end there. Playa de Oro will be one of the first communities to test sustainability theories, as the Project begins its gradual withdrawal from the area in 2001. Substantial gains have been made here during the life of the project, and those gains will be proven in the coming year.

MICROENTERPRISE SO 4

A NEW LIFE FOR A WIDOW

When Cristina's alcoholic husband died from cirrhosis three years ago, she was left with five children to feed and a sizeable debt with the local grocery store. She felt desperate, without any means of survival for herself and her large family. One of her neighbors informed her of the possibility of getting a loan from an institution called Project Hope if she became a member of a village bank. With an initial loan of \$100 she started a business selling prepared food on a street corner in Montecristi, a small town located in Ecuador's Manabi province. After three years of participating in this local village bank, she finds herself the owner of a successful business. She is able to educate, feed, and clothe her family.

"I had no idea how I was going to earn a living," she remembers. "For a poor person there was no possibility to get a loan from any source." Today Cristina remembers how slowly she built up her clientele. "If it hadn't been for the loan," she says "I wouldn't have been able to survive with my five children. Everything is better now. We can eat much better and my children have the chance of a brighter future."

DEMOCRACY – SO 12

LEGAL SERVICES FOR BATTERED WOMEN

Maria del Carmen Paredes, a 45 years old Ecuadorian married for 20 years came to Quito's Commissary for Women and the Family to report the systematic battering she suffered at the hands of her husband, Felipe Romero. She mentioned that domestic violence during the last 7 years had increased from verbal abuse to battering and sexual mistreatment by her alcoholic husband. Maria del Carmen requested and received a warrant to protect herself from new attacks.

Three months later, she came back to report that her husband had torn up the warrant, and that not only had he battered her, but also her little 5 and 6 years old daughters. She was concerned for their safety, because she suspected that their father was sexually abusing them as well. The technical team of the USAID-supported Commissary instructed Maria del Carmen on the Domestic Violence Law and the international agreements passed to prevent, punish and eradicate violence against women.

She used this guidance to demand her rights and obtain protective measures from the Judge at the Commissary. The aggressor was told to leave the house and was prohibited from approaching her or her relatives. The judge had asked the National Police, through its Office for the Defense of Women (ODMU), to make sure that these measures were enforced. In addition, the judge asked a social worker to monitor any new developments in the case. It has been six months, and Ms. Paredes has not reported a new episode of violence.

LEGAL SERVICES IN BENEFIT OF THE INDIGENOUS AND POOR

In September 1999, in the indigenous community of Rumipamba in Imbabura Province, Luis Fabián Carlosana was captured in the early morning hours by six community members, just as he was breaking into a house. Following the region's local practices, he was maintained in custody until the local authorities could meet to decide on sanctions against Mr. Carlosana. Before the leaders of the Rumipamba community could arrive, Mr. Carlosana died as he fell trying to escape. This resulted in the arrest of the community members on a murder charge.

At the request of the local leaders, the Indigenous Federation of Imbabura (FICI) authorized the lawyer of CIDES' USAID-sponsored legal clinic to defend the indigenous people who were under arrest. Since they did not speak Spanish, the lawyer provided a translator. The lawyer's defense clarified the facts, and the accused were freed. This success story has been replicated where adequate technical defense for the poor is non-existent. During FY 1999 CIDES dealt with a total of 660 cases, benefiting indigenous and marginal urban citizens.

Global Climate Change

Information annex topic: global climate change

USAID/Ecuador through the Sustainable Uses of Biological Resources (SUBIR) Project is working to conserve the biodiversity of the Ecuadorian Chocó in the northwest Province of Esmeraldas. In doing so, CARE and its local partners EcoCiencia and Jatun Sacha are developing management models and advocating reforms with potential for national-level impact on climate change. Community-based natural resource management plans and their respective EA's promote long-term equitable forest management. On the demand side, the Project is working to reduce distortions in the marketplace that reduce the market value of timber. Uniform quality control standards developed by SUBIR are now in place and applied throughout the forestry sector. Finally, national-level legal reforms advocated by SUBIR resulted in a revamped Forestry Law that contains incentives for reforestation and sanctions for inappropriate management practices. As the environmentalists timber communities and the appropriate government institutions reached a consensus on this law, Congress is expected to pass it in the near future.

In the coming year, SUBIR will continue to work with local organizations to strengthen management practices and norms in northwest Ecuador, and the development of a biological corridor supported by new environmental services legislation.

Oikos, a local NGO will be working to strengthen the institutional capacity of the country to identify and prepare climate change mitigation projects through a series of capacity building and technical training workshops. With Oikos assistance, projects under the Clean Development Mechanisms (CDM) will be promoted.

Oikos will also be supporting the GOE to define an action plan that meets the government commitment to the Convention on Climate Change in general and specially the Kyoto Protocol.

FY99 Climate Change Reporting Guidance - Data Tables

Please fill in the YELLOW cells to complete the table.

Table 1 - Background Information	
Country, Region, Office, or Program Reporting:	USAID/Ecuador
Name of person(s) completing tables:	Enrique Barrua, SO 1 Team Leader
GCC Contact 1:	
SO Team (including SO number):	518-001-01 Biodiversity Conserved in Selected Protected Areas and their buffer zones
GCC Contact 2:	Monica Suquilanda
SO Team (including SO number):	SO 1 Core Member
GCC Contact 3:	Bryan Hayum, CARE - Marco Encalada, Oikos Corporation
SO Team (including SO number):	SO 1 Extended Members
Contact Information (USG mail)	USAID/Ecuador: Av. Colombia 1573 y Queseras del Medio
Address (1):	
Address (2):	CARE: Calle El Sol No. 39-270 y Gaspar de Villarroel, Oikos: Lukemburgo No. 34-80
Street:	
City, Address Codes:	Quito, Ecuador
Telephone number:	USAID/E: 593-2-506-643; CARE 593-2-921-871; Oikos 593-2-461-595
Fax number:	USAID/E: 500-379; CARE 921-871; Oikos 461-212
Email address:	ebarrau@usaid.gov; bhayum@care.org; oikos@uio.satnet.net
Other relevant information:	

Please fill in the YELLOW cells to complete the table.

TABLE 2						
Result 1: Increased Participation in the UNFCCC						
Indicator 1: Policy Development Supporting the Framework Convention on Climate Change						
Policy Measure	PLEASE SEE BELOW for DEFINITIONS necessary to complete this table.					
	STEP 1: Policy Preparation and Presentation	STEP 2: Policy Adoption	STEP 3: Implementation and Enforcement	List Activities Contributing to Each Policy Category	SO Number for Activity	CNTN Number for Activity
Ex: Integration of climate change into national strategic, energy, and sustainable development strategies	1	1		Gov't-established interagency group has completed all necessary analysis and preparation to develop NEAP. The government has also signed Annex b of the FCCC.	3.2	CN-23-222
Integration of climate change into national strategic, energy, and sustainable development strategies	NA	NA	NA	NA	NA	NA
Emissions inventory						
Mitigation analysis						
Vulnerability and adaptation analysis						
National Climate Change Action Plan						
Procedures for receiving, evaluating, and approving joint implementation (JI) proposals						
Procedures for monitoring and verifying greenhouse gas emissions						
Growth baselines for pegging greenhouse gas emissions to economic growth						
Legally binding emission reduction targets and timetables						
Other (describe)						
Other						
Other						
Other						
Other						
Sub-total (number of policy steps achieved):	0	0	0			
TOTAL (number of policy steps achieved):	0					

Definitions: Policy Steps Achieved	
Policy Measure	"Policy measures" may include documentation demonstrating a legal, regulatory, or other governmental commitment to a defined course of action. Thus, for example, "policy measures" would include: a national, state, provincial, or local law; a regulation or decree; guidance issued by an agency, ministry, or sub-national body; a land use plan; a National Environmental Action Plan; a Climate Change Action Plan; or a National Communication to the IPCC. The term "policy measures" does not include technical documentation, such as technical reports or land use maps, nor site-specific activities reported under Indicators 1 and 2 (e.g., legal demarcation of individual site or granting of community access to single location).
Policy Preparation and Presentation (Step 1)	Draft bill, policy or regulation, vetted through relevant stakeholders in government, non-government, the private sector and civil society, and introduced for debate in appropriate legislative, regulatory, or governmental body.
Policy Adoption (Step 2)	Policy intervention is approved and adopted by the appropriate administrative agency or legislative body. Can take the form of the voting on a law; the issuance of a decree, etc.
Policy Implementation and Enforcement (Step 3)	Actions that put the policy interventions into effect, such as agency personnel trained in procedures, appropriate institutions created or strengthened, or legislation implemented through the appropriate government agency.
Definitions: Types of Activities	
Adaptation	Adjustments in practices, processes or structures of systems to projected or actual changes of climate (may be spontaneous or planned).
Emissions inventory	Detailed listing of GHG sources and sinks.
Growth Baselines	An approach that would link countries' emissions targets to improvements in energy efficiency.
Joint Implementation (JI)	The process by which industrialized countries can meet a portion of their emissions reduction obligations by receiving credits for investing in GHG reductions in developing countries.
Mitigation	An action that prevents or slows the increase of greenhouse gases (GHGs) by reducing emissions from sources and sinks.
National Climate Change Action Plan	Plans that delineate specific mitigation and adaptation measures that countries will implement and integrate into their ongoing programs. These plans form the basis for the national communications that countries submit to the UNFCCC Secretariat.

Please fill in the YELLOW cells to complete the table.

TABLE 3					
Result 1: Increased Participation in the UNFCCC					
Indicator 2: Increased capacity to meet requirements of the UNFCCC					
Categories	Types of Support Provided (mark with an "X" for each category)		List the Activities that Contribute to Each Capacity Building Category	SO Number for Activity	CN/TN Number for Activity
	Training	Technical Assistance			
Ex: Support for joint implementation activities	1	1	Provided training and assistance in the economic and financial evaluation of energy efficient projects for consideration in JI activities.	2.4	CN-23-222
Monitoring and verifying GHG emissions	NA	NA	NA	NA	NA
Growth baselines for pegging GHG emissions to economic growth	NA	NA	NA	NA	NA
Development of emissions reduction targets and timetables	NA	NA	NA	NA	NA
Support for joint implementation activities	NA	NA	NA	NA	NA
Other (describe)					
Other					
Other					
Other					
Other					
Total number of points for Training/Technical Assistance:	0	0			

Please fill in the YELLOW cells to complete the table.

TABLE 4													
Result 2: Reduced Net Greenhouse Gas Emissions from the Land Use/Forest Management Sector													
Indicator 1: Area where USAID has initiated interventions to maintain or increase carbon stocks or reduce their rate of loss													
Indicator 2: Area where USAID has achieved on-the-ground impacts to preserve, increase, or reduce the rate of loss of carbon stocks													
PLEASE SEE BELOW for CODES and DEFINITIONS necessary to complete this table. USAID Activity Name	Location			The Site and USAID's Involvement						Additional information you may have (see codes below)	SO Number for Activity	CN/TN Number for Activity	
				Principal Activities (see codes below)	Indicator 1	Area where USAID has conserved carbon (hectares)							
	Area where USAID has initiated activities (hectares)	Predominant vegetation type (see codes below)	Indicator 2a		Predominant managed land type (see codes below)	Indicator 2b							
			Natural ecosystems			Managed lands							
Ex: Tapajos National Forest Project	Brazil	Para	Tapajos National Forest	1	595,000	A	595,000			1, 2, 3, 5	1	CN-23-222	
				2	5,000	A		3					
								400					
Justification for including site:			Site of Tapajos project was included on the basis of demonstrated progress in forest conservation and resulting carbon sequestration benefits.										
SUBIR	Ecuador	Esmeraldas	Cotacachi- Cayapas Ecological Reserve	1	300000	A	250000			NA	1	TN-185	
				2	20000	A		2					
				4	1000	A			500				
Justification for including site:													
2.													
Justification for including site:													
3.													
Justification for including site:													
4.													
Justification for including site:													
5.													
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10.													
Justification for including site:													
11.													
Justification for including site:													
12.													
Justification for including site:													
13.													
Justification for including site:													
14.													
Justification for including site:													
15.													
Justification for including site:													
Total area (hectares):				321,000		Total area:		250,000		Total area:		500	
<p>Note: If you need to list more than 15 activities in this table, please create a second copy of this spreadsheet, following the instructions at bottom.</p>													

Codes for Land Use and Forestry Sector Indicators									
Principal Activities:		Predominant Vegetation Type:				Predominant Managed Land Type:		Codes for Additional Information:	
1	Conservation of natural ecosystems (may include protected area management, extraction of non-timber products, etc. but <i>not</i> timber harvesting.)	A	Tropical evergreen forest	H	Tropical grassland and pasture	1	Agricultural systems: Less than 15% of the area under trees	1	Maps
2	Sustainable forest management for timber using reduced-impact harvesting (non-timber forest products may also be harvested)	B	Tropical seasonal forest	I	Temperate grassland and pasture	2	Agroforestry systems: Greater than 15% of the area under trees	2	Geo-referenced site coord-inates
3	Afforestation/reforestation/plantation forests	C	Temperate evergreen forest	J	Tundra and alpine meadow	3	Plantation Forests: At least 80% of the area under planted trees	3	Biomass inventory
4	Agroforestry	D	Temperate deciduous forest	K	Desert scrub	4	Protected areas	4	Rainfall data
5	Sustainable agriculture	E	Boreal forest	L	Swamp and marsh			5	Soil type data
		F	Temperate woodland	M	Coastal mangrove				
		G	Tropical open forest / woodland	N	Wetlands				

Definitions: Natural Ecosystems	
Natural Ecosystems	Any areas that have not experienced serious degradation or exploitation of biomass, and without significant harvest of biomass. This includes protected areas, areas used for the extraction of non-timber forest products, and community-managed forests with minimal timber extraction. Areas where non-timber forest products are harvested can be counted in this category but not those that are managed for timber. The latter are included in 2b below. The distinction is important as different approaches are employed in estimating carbon for “natural areas” (2a) and “managed areas” (2b). Natural areas include: (1) protected areas; (2) areas where non-timber forest products are extracted if significant biomass is not removed (often managed as community-based forest management areas); and (3) any other areas which exclude larger-scale biomass harvest from a management regime including many areas managed by communities and/or indigenous groups.
Definitions: Managed Lands Categories	
Sustainable Forest Management for Timber, using Reduced Impact Harvesting (RIH)	<p>A timber management activity will be considered to have a positive impact on carbon (relative to conventional methods) if it employs RIH practices and/or other key criteria. RIH is a package of practices proven to minimize environmental damage and carbon emissions during the logging of natural tropical forest. To be included, an activity must include most of the following practices:</p> <ul style="list-style-type: none"> - tree inventorying, marking and mapping; - careful planning and marking of skidder trails; - vine cutting prior to harvest, where appropriate; - directional felling of trees; - appropriate skidding techniques that employ winching and best available equipment (rubber tired skidder/animal) - proper road and log deck construction; - a trained work force and implementation of proper safety practices; - fire mitigation techniques (fire breaks); - existence of a long-term management plan. <p>Report on the area where government, industry or community organizations are carrying out forest management for commercial timber using the techniques above, or forest management areas that have been “certified” as environmentally sound by a recognized independent party. Only the area where sound planning and harvesting is being currently practiced should be included (not the whole concession or forest).</p>
Agroforestry	<p>Agroforestry covers a wide variety of land-use systems combining tree, crop and/or animals on the same land. Two characteristics distinguish agroforestry from other land uses: 1) it involves the deliberate growing of woody perennial on the same unit of land as agricultural crops and/or animals either spatially or sequentially, and 2) there is significant interaction between woody and non-woody components, either ecological or economical. To be counted, at least 15 percent of the system must be trees or woody perennials grown for a specific function (shade, fuel, fodder, windbreak).</p> <p>Include the area of land under an agroforestry system in which a positive carbon benefit is apparent (i.e., through the increase in biomass, litter or soil organic matter). Do not include agroforestry systems being established on forestlands that were deforested since 1990.</p>

Reforestation/ Afforestation	The act of planting trees on deforested or degraded land previously under forest (reforestation) or on land that has not previously been under forest according to historical records (afforestation). This would include reforestation on slopes for watershed protection; mangrove reforestation or reforestation to protect coastal areas; commercial plantations and community tree planting on a significant scale, and/or the introduction of trees in non-forested areas for ecological or economic purposes. -- Include the area under reforestation or afforestation (i.e., plantation forests and/or community woodlots). Do not include natural forested areas that have been recently deforested for the purpose of planting trees. Do not include tree planting in agroforestry systems (include this under agroforestry).
Sustainable Agriculture	Agricultural systems that increase or maintain carbon in their soil and biomass through time by employing certain proven <ul style="list-style-type: none"> - no-tillage or reduced tillage - erosion control/soil conservation techniques, especially on hillsides - perennial crops in the system - higher crop yields through better nitrogen and soil management - long-term rotations with legumes - the use of organic mulches, crop residues and other organic inputs into the soil - better management of agrochemicals, by stressing careful fertilizer management that will increase yields while minimizing the use of petro-based agrochemicals which increase emissions.

Special Instructions: Creating a Copy of this Spreadsheet	
Step 1	Finish filling any cells you are working on and hit " Return " or " Enter ".
Step 2	Then click on " Edit " in the menu bar, above. Go down and click on " Move or Copy Sheet ". The "Move or Copy" dialog box will open. (NOTE: You may also open this dialog box by using the right button on your mouse and clicking on the "T4-2.1 Land Use" tab near the bottom of the screen.)
Step 3	Next, scroll down in the dialog box and click on " T4-2.1 Land Use ".
Step 4	Next, click on the box at bottom to Create a copy .
Step 5	Hit " OK ". A new copy of T4-2.1 Land Use will appear in the row of tabs near the bottom of the screen. PLEASE NOTE: Some cells may not retain all the original ntext when the sheet is copied, especially in the definitions sections.

Please fill in the YELLOW cells to complete the table.

TABLE 5							
Result 2: Reduced Net Greenhouse Gas Emissions from the Land Use/Forest Management Sector							
Indicator 3: National/sub-national policy advances in the land use/forestry sector that contribute to the preservation or increase of carbon stocks and sinks, and to the avoidance of greenhouse gas emissions							
PLEASE SEE BELOW FOR DEFINITIONS necessary to complete this table.							
Policy Measure	Scope (N or S)	STEP 1: Policy Preparation and Presentation	STEP 2: Policy Adoption	STEP 3: Implementation and Enforcement	List Activities Contributing to Each Policy Category	SO Number for Activity	CN/TN Number for Activity
Ex: Facilitates establishment and conservation of protected areas	N	2	1		Two studies completed on national protected areas law for the Environment Min., including recommendations for legal reform; revised National Protected Areas Law adopted, Min. Decree No. 1999/304.	3.1	TN-556-27
Facilitates improved land use planning	N				Forestry Law	1	TN-185
Facilitates sustainable forest management	N				Forestry Law		
Facilitates establishment and conservation of protected areas							
Improves integrated coastal management							
Decreases agricultural subsidies or other perverse fiscal incentives that hinder sustainable forest management	N				Forestry Law		
Corrects protective trade policies that devalue forest resources	N				Forestry Law		
Clarifies and improves land and resource tenure	N				Community Law		
Other (describe)							
Other							
Other							
Other							
Other							
Sub-total (number of policy steps achieved):		0	0	0			
Total (number of policy steps achieved):				0			

Definitions: Scope	
National Policies (N)	Policies that influence issues on a countrywide level.
Sub-national Policies (S)	Policies that affect a tribal nation, province, state or region that are neither national nor site specific in impact.
Definitions: Policy Steps Achieved	
Policy Measure	"Policy measures" may include documentation demonstrating a legal, regulatory, or other governmental commitment to a defined course of action. Thus, for example, "policy measures" would include: a national, state, provincial, or local law; a regulation or decree; guidance issued by an agency, ministry, or sub-national body; a land use plan; a National Environmental Action Plan; a Climate Change Action Plan; or a National Communication to the IPCC. The term "policy measures" does not include technical documentation, such as technical reports or land use maps, nor site-specific activities reported under Indicators 1 and 2 (e.g., legal demarcation of individual site or granting of community access to single location).
Policy Preparation and Presentation (Step 1)	Draft bill, policy or regulation, vetted through relevant stakeholders in government, non-government, the private sector and civil society, and introduced for debate in appropriate legislative, regulatory, or governmental body.
Policy Adoption (Step 2)	Policy intervention is approved and adopted by the appropriate administrative agency or legislative body. Can take the form of the voting on a law; the issuance of a decree, etc.
Policy Implementation and Enforcement (Step 3)	Actions that put the policy interventions into effect, such as agency personnel trained in procedures, appropriate institutions created or strengthened, or legislation implemented through the appropriate government agency.

Please fill in the YELLOW cells to complete the table.

TABLE 6							
Result 2: Reduced Net Greenhouse Gas Emissions from the Land Use/Forest Management Sector							
Indicator 4: Value of Public and Private Investment Leveraged by USAID for Activities that Contribute to the Preservation or Increase of Carbon Stocks and Reduction of Greenhouse Gas Emissions							
PLEASE SEE BELOW for DEFINITIONS necessary to complete this table.		Source of Leveraged Funds	Describe methodology for determining amount of funding	Direct Leveraged Funds	Indirect Leveraged Funds	SO Number for Activity	CN/TN Number for Activity
Activity Description							
Ex	National Nature Conservation Fund	National Government	Figure reflects direct, in-kind contribution of national government.	\$572,800		3.3	TN-556-27
Ex	Big Forest Climate Change Action Project	The Nature Conservancy and the Friends of Nature Foundation	NGOs initiated independent activity with separate funding, building on earlier USAID conservation project.		\$1,700,000	3.3	CN-23-222
1	NA	NA	NA	NA	NA	NA	NA
2							
3							
4							
5							
6							
7							
8							
9							
10							
11							
12							
13							
14							
15							
Total:				\$0	\$0		

Definitions: Funding Leveraged	
Direct Leveraged Funding	Funding leveraged directly in support of USAID activities and programs, including: <ul style="list-style-type: none"> - funding leveraged from partners for joint USAID activities; - funding for activities in which USAID developed enabling policies, regulations, or provided pre-investment support (prorated); - obligated or committed funding for direct follow-on MDB loan programs (prorated); - obligated or committed funding for direct follow-on private-sector funded programs that reach financial closure (prorated); - joint implementation investments; - Development Credit Authority investments.
Indirect Leveraged Funding	Funding dedicated by other donors or governments to replicate programs that USAID initiated, but which USAID does not or will not itself fund.

Please fill in the YELLOW cells to complete the table.

TABLE 6				
Result 2: Reduced Net Greenhouse Gas Emissions from the Land Use/Forest Management Sector				
Indicator 5a: Increased Capacity to Address Global Climate Change Issues				
Number of institutions strengthened to address GCC issues		Names of Associations, NGOs, or other Institutions Strengthened	SO Number for Activity	CN/TN Number for Activity
Ex: Number of NGOs	4	Friends of Nature Foundation, SITA, Sustainable Forests Unlimited	3.2	CN-23-222
Number of NGOs	2	EcoCiencia, Jatun Sacha	1	TN-185
Number of Private Institutions				
Number of Research/Educational Institutions				
Number of Public Institutions				
Total Number of Institutions Strengthened:	2			

Please fill in the YELLOW cells to complete the table.

Table 8					
Result 2: Reduced Net Greenhouse Gas Emissions from the Land Use/Forest Management Sector					
Indicator 5b: Technical Capacity Strengthened through Workshops, Research, and/or Training Activities					
Category	Types of Support Provided (mark with an "X" for each category)		List the Activities that Contribute to Each Capacity Building Category	SO Number for Activity	CN/TN Number for Activity
	Training	Technical Assistance			
Ex: Advancing sustainable forest management	1	1	Presentation of nursery & reforestation studies; US training on resource mgmt; env'l impact assessment law training; forest restoration & recovery workshop. TA for fire prevention.	3.3	CN-23-222
Advancing improved land use planning	1	1	Natural Resource Management Plans	1	TN-185
Advancing sustainable forest management	1	1	Natural Resource Management Plans, EA's, Bio Monitoring	1	TN-185
Advancing establishment and conservation of protected areas	1	1	Natural Resource Management Plans, EA's, Bio Monitoring	1	TN-185
Advancing integrated coastal management					
Advancing decreases in agricultural subsidies or other perverse fiscal incentives that hinder sustainable forest management	1	1	Commercialization training, and studies	1	TN-185
Advancing the correction of protective trade policies that devalue forest resources	1	1	Commercialization studies	1	TN-185
Advancing the clarification and improvement of land and resource tenure	1	1	Paralegal training, land adjudication to ancestral groups	1	TN-185
Other (describe)					
Other					
Other					
Other					
Other					
Number of categories where training and technical assistance has been provided:	6	6			

Please fill in the YELLOW cells to complete the table.

TABLE 9												
Result 3: Reduced Net Greenhouse Gas Emissions from the Energy Sector, Industry and Urban Areas												
Indicator 1: Emissions of Carbon Dioxide Equivalents Avoided, due to USAID Assistance (Measuring Carbon Dioxide, Methane, and Nitrous Oxide)												
PLEASE SEE BELOW for CODES necessary to complete this table.		3.1 A - CO2 Emissions avoided through renewable energy activities			3.1 B - CO2 emissions avoided through end use energy efficiency improvements			3.1 C - CO2 emissions avoided through energy efficiency improvements in generation, transmission, and distribution (including new production capacity)			SO number for Activity	CN/TN Number for Activity
		MW-h produced in electricity generation	BTU's produced in thermal combustion	Fuel type replaced (use codes)	MW-h saved	BTU's saved in thermal combustion	Fuel type saved (use codes)	MW-h saved	BTU's saved in thermal combustion	Fuel type saved (use codes)		
Ex	Activity											
	Renewable Energy Production Prog.	512,258		J							2.1	CN-120-97
Ex	Steam & Combustion Efficiency Pilot Proj.					1,832,144	J				2.1	CN-120-97
Ex	Power Sector Retrofits							912,733		T	2.1	CN-120-97
1	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA
2												
3												
4												
5												
6												
7												
8												
9												
10												
11												
12												
13												
14												
15												
Totals:		0	0		0	0		0	0			

PLEASE SEE BELOW for CODES necessary to complete this table.		3.1 D - CO2 emissions avoided as a result of switching to cleaner fossil fuels (including new production capacity)				3.1 E - Methane emissions captured from solid waste, coal mining, or sewage treatment		3.1 F - Tonnes of nitrous oxide emissions avoided through improved agriculture		SO number for Activity	CN/TN Number for Activity
		MW-h produced in electricity generation	BTUs produced in thermal combustion	Old fuel type (use codes)	New fuel type (use codes)	Tonnes of methane	Tonnes of nitrous oxide				
Ex	Activity										
	Clean Fuels Program	4,551		H	FF					2	CN-120-97
Ex	Municipal Landfill Proj.						450			2	CN-120-97
Ex	Sust. Ag. & Devt. Proj.								575	2	CN-120-97
1											
2											
3											
4											
5											
6											
7											
8											
9											
10											
11											
12											
13											
14											
15											
Totals:		0	0				0		0		

Please fill in the YELLOW cells to complete the table.

TABLE 10							
Result 3: Decreased Net Greenhouse Gas Emissions from the Energy Sector, Industry, and Urban Areas							
Indicator 3: National/sub-national policy advances in the energy sector, industry and urban areas that contribute to the avoidance of greenhouse gas emissions							
PLEASE SEE BELOW for DEFINITIONS necessary to complete this table.	Scope (N or S)	STEP 1: Policy Preparation and Presentation	STEP 2: Policy Adoption	STEP 3: Implementation and Enforcement	List Activities Contributing to Each Policy Category	SO Number for Activity	CN/TN Number for Activity
Policy Measure							
Example: Facilitates improved demand side management or integrated resource planning	N	2	1		Mission supported introduction of two decrees for energy tariff reforms (pursuant to National Energy Reform Law) in the national parliament; one decree was adopted.	2.4	CN-577-92
Facilitates improved demand side management or integrated resource planning	N	2	1		Forestry Law, Tourism Law	1	TN-185
Facilitates competitive energy markets that promote market-based energy prices, decrease fossil fuel subsidies, or allow open access to independent providers							
Facilitates the installation of energy efficient or other greenhouse gas reducing technologies, including improved efficiencies in industrial processes							
Facilitates the use of renewable energy technologies							
Facilitates the use of cleaner fossil fuels (cleaner coal or natural gas)							
Facilitates the introduction of cleaner modes of transportation and efficient transportation systems							
Promotes the use of cogeneration							
Other (describe)							
Other							
Other							
Other							
Other							
Sub-total (number of policy steps achieved):		2	1	0			
Total (number of policy steps achieved):				3			

Definitions: Scope	
National Policies (N)	Policies that influence issues on a countrywide level.
Sub-national Policies (S)	Policies that affect a tribal nation, province, state or region that are neither national nor site specific in impact.
Definitions: Policy Steps Achieved	
Policy Measure	"Policy measures" may include documentation demonstrating a legal, regulatory, or other governmental commitment to a defined course of action. Thus, for example, "policy measures" would include: a national, state, provincial, or local law; a regulation or decree; guidance issued by an agency, ministry, or sub-national body; a land use plan; a National Environmental Action Plan; a Climate Change Action Plan; or a National Communication to the IPCC. The term "policy measures" does not include technical documentation, such as technical reports or land use maps, nor site-specific activities reported under Indicators 1 and 2 (e.g., legal demarcation of individual site or granting of community access to single location).
Policy Preparation and Presentation (Step 1)	Draft bill, policy or regulation, vetted through relevant stakeholders in government, non-government, the private sector and civil society, and introduced for debate in appropriate legislative, regulatory, or governmental body.
Policy Adoption (Step 2)	Policy intervention is approved and adopted by the appropriate administrative agency or legislative body. Can take the form of the voting on a law; the issuance of a decree, etc.
Policy Implementation and Enforcement (Step 3)	Actions that put the policy interventions into effect, such as agency personnel trained in procedures, appropriate institutions created or strengthened, or legislation implemented through the appropriate government agency.

Please fill in the **YELLOW** cells to complete the table.

Table 11					
Result 3: Reduced Net Greenhouse Gas Emissions from the Energy Sector, Industry and Urban Areas					
Indicator 4: Strategies/Audits that Contribute to the Avoidance of Greenhouse Gas Emissions					
Activity		Number of audits or strategies completed	Number or audit recommendations or strategies implemented	SO Number for Activity	CN/TN Number for Activity
Ex	Steam & Combustion Efficiency Pilot Project	41	35	2.1	CN-577-92
1	NA	NA	NA	NA	NA
2					
3					
4					
5					
6					
7					
8					
9					
10					
11					
12					
13					
14					
15					
Total:		0	0		

Please fill in the YELLOW cells to complete the table.

TABLE 12							
Result 3: Reduced Net Greenhouse Gas Emissions from the Energy Sector, Industry and Urban Areas							
Indicator 5: Value of Public and Private Investment Leveraged by USAID for Activities that Reduce Greenhouse Gas Emissions							
PLEASE SEE BELOW for DEFINITIONS necessary to complete this table.		Source of Leveraged Funds	Describe methodology for determining amount of funding	Direct Leveraged Funds	Indirect Leveraged Funds	SO Number for Activity	CN/TN Number for Activity
Activity Description							
Ex	National Renewable Energy Program	Dept. of Energy, World Bank-GEF	DOE direct buy-in to USAID. In FY99, GEF funded replication of NREP activity begun in FY98, called the Renewables for Economic Devt Proj.	\$120,000	\$2,500,000	2	CN-577-92
1	NA	NA	NA	NA	NA	NA	NA
2							
3							
4							
5							
6							
7							
8							
9							
10							
11							
12							
13							
14							
15							
Total:				\$0	\$0		

Definitions: Funding Leveraged	
Direct Leveraged Funding	Funding leveraged directly in support of USAID activities and programs, including: <ul style="list-style-type: none"> - funding leveraged from partners for joint USAID activities; - funding for activities in which USAID developed enabling policies, regulations, or provided pre-investment support (prorated); - obligated or committed funding for direct follow-on MDB loan programs (prorated); - obligated or committed funding for direct follow-on private-sector funded programs that reach financial closure (prorated); - joint implementation investments; - Development Credit Authority investments.
Indirect Leveraged Funding	Funding dedicated by other donors or governments to replicate programs that USAID initiated, but which USAID does not or will not itself fund.

Please fill in the YELLOW cells to complete the table.

TABLE 13				
Result 3: Reduced Net Greenhouse Gas Emissions from the Energy Sector, Industry and Urban Areas				
Indicator 6a: Increased Capacity to Address Global Climate Change Issues				
Number of institutions strengthened to address GCC issues		Names of Associations, NGO's or other Institutions Strengthened	SO Number for Activity	CN/TN Number for Activity
Example: Number of NGOs	5	Center for Cleaner Production, Association of Industrial Engineers, National Solar Energy Foundation, Clean Air Alliance, Institute for Industrial Efficiency	2.4	CN-577-92
Number of NGOs	2	EcoCiencia, Jatun Sacha	1	TN-185
Number of Private Institutions				
Number of Research/Educational Institutions				
Number of Public Institutions				
Total Number of Institutions Strengthened:	2			

Please fill in the YELLOW cells to complete the table.

Table 14					
Result 3: Reduced Net Greenhouse Gas Emissions from the Energy Sector, Industry and Urban Areas					
Indicator 6b: Technical Capacity Strengthened through Workshops, Research, and/or Training Activities					
Category	Types of Support Provided (mark with an "X" for each category)		List the Activities that Contribute to Each Capacity Building Category	SO Number for Activity	CN/TN Number for Activity
	Training	Technical Assistance			
Example: Use of renewable energy technologies	1	1	Developed sustainable markets for renewable energy technologies. Over 200 renewable energy systems installed. Training for utilities, government officials, NGOs. Study on renewable energy applications completed.	2.4	CN-577-92
Improved demand-side management or integrated resource planning	1	1	EA's, NR Management Plans	1	TN-185
Competitive energy markets that promote market-based energy prices, decrease fossil fuel subsidies, or allow open access to independent providers					
Installation of energy efficient or other greenhouse gas reducing technologies, including improved efficiencies in industrial processes					
Use of renewable energy technologies					
Use of cleaner fossil fuels (cleaner coal or natural gas)					
Introduction of cleaner modes of transportation and efficient transportation systems					
Use of cogeneration					
Other (describe)					
Other					
Other					
Other					
Other					
Total number of points for Training/Technical Assistance:	1	1			